

## Bucket 269.2 - Records of the Office of General Counsel

This group provides documentation and disposition instructions for records created while providing legal counsel, advice, suggestions, and assistance to services and staff offices to assist them in accomplishing their missions and program responsibilities. These records are created in carrying out functions assigned in the GSA Organization Manual (OHR P 5440 1), and authority described in the GSA Directive *Office of General Counsel Legal Review* (ADM 5000 4B – November 14, 2014). “OGC, as defined in par 3 d of this Order, is the sole and exclusive authorized provider of legal services, review and advice to agency personnel in the course of agency operations, except for the Office of Inspector General (OIG), Civilian Board of Contract Appeals (CBCA), and as designated by the General Counsel or otherwise provided by statute. Agency officials may rely upon the advice of counsel on legal issues, but are responsible for other aspects of decisions, including the exercise of sound business and policy judgment.”

Bucket	New Series	New Title	New Description	New Disposition	Type	Old GSA Number	Old Disposition Authority	Old Annotated Description	Old Disposition
269 2	010	Significant Legal Records	This series includes official Opinions of the Office of General Counsel, and litigation case files relating to matters designated as significant by the General Counsel Office and related records	Permanent Cut off at the end of the fiscal year of final action (decision or settlement) Transfer to NARA 7 years after cutoff	P	10A055a	NC1-269-79-01	Litigation records Documents related to litigation by or against the Government resulting from sales, claims, torts, contracts, foreclosures, actions against GSA officials (personal judgments), criminal actions, titles to real property, and similar matters Included are statements of claims, documentary evidence, copies of condemnation or foreclosure proceedings and decisions, list of witnesses, supporting documents, correspondence, and related records a Cased designated as significant by the General	Permanent Cut off at end of fiscal year following closure of case by authority of the General Counsel or disposition by court action Hold 2 years and retire to FRC Transfer to NARA in 5-year blocks 7 years after cutoff of latest record block
269 2	020	Site Register and Acquisition Records	Official file containing copies of title records for real property under the Agency's administrative jurisdiction, unrecorded documents that may affect the use of the property, policies of title insurance, and related records Official files may include survey information, drawings and legislative materials Also included are records of legal services provided in connection with the acquisition, by purchase, condemnation, or otherwise, of interests in real property other than leasehold interests and related records Also included are litigation case files for eminent	Permanent Retain in OGC until disposal If property is transferred, transfer site register to the other agency upon transfer of administrative jurisdiction Cut off at the end of the fiscal year that property is conveyed out of federal ownership Transfer 7 years after cutoff	P	10A080	NC1-269-79-01	Site register Documents relating to the acquisition of sites for Federal buildings Most of the papers maintained in these files are copies of documents filed in the title record jackets Documents include deeds of conveyance, site selection documents, studies and other papers, revocable licenses, permits, easements, citations of pertinent authorizations, legislative authorizations, drawings, plans, documents reflecting condemnation proceedings, and related records	Disposable Destroy on transfer or disposal of site
269 2	031	Litigation Case Files	This series includes official case files of the Office of General Counsel in matters litigated before all courts and commissions, the Government Accountability Office (GAO), the Civilian Board of Contract Appeals, Merit Systems Protection Board, Equal Employment Opportunity Commission, and other fora, not including eminent domain litigation or other litigation matters related to property This series also includes OGC assistance records related to the Department of Justice in matters litigated in court Such case files include, Contract Disputes Act and Transportation cases, Personnel and Labor cases, bid protest cases, Regulatory Cases, and court litigation and other proceedings (FTCA, Environmental,	Temporary Cut off at the end of the fiscal year Destroy 7 years after cutoff	T	10A036a	NI-269-87-11	Protests to Comptroller General Documents relating to bidders and contractor protests to the Comptroller General on solicitation issued or contracts entered into by GSA Included are General Accounting Office requests for reports on the protests, administrative reports, and related records a Litigation pending	Disposable Cut off at end of fiscal year Destroy 1 year after cutoff or when litigation has terminated, whichever is later
						10A060	NC1-269-29-1	Mistake in bid cases Documents reflecting administrative determinations and actions taken with respect to resolving mistakes in bids These files include copies of invitations to bid, bid tabulations, bids containing alleged mistakes, statements of bidders and supporting data, recommendations of regional counsel, records of approval and disapproval as to legal sufficiency as determined by General Counsel or Comptroller General, and related records	Temporary Cut off at end of fiscal year following final determination of case, hold 2 years and retire to FRC Destroy 7 years after cutoff
						10A035	NC1-269-79-01	Appeal cases Documents accumulated as a result of representing GSA in hearings before the GSA Board of Contract Appeals on contractor appeals of decisions of contracting officers and officials Included are copies of decisions, opinions, or reports made by the Board; statements of fact; briefs; supplementary decisions or amendments; and related records	Temporary Cut off at end of fiscal year following decision on the appeal Hold 2 years and retire to FRC Destroy 7 years after cutoff

Bucket	New Series	New Title	New Description	New Disposition	Type	Old GSA Number	Old Disposition Authority	Old Annotated Description	Old Disposition
						10A040a	NC1-269-79-01	Claim cases Documents relating to claims by or against the Government resulting from personal injury, property damage, abandoned or unclaimed property, acquisition and disposal of personal and real property, delinquent accounts, and other business transactions of GSA a Settled claims	Temporary Cut off at end of fiscal year after settlement; hold 2 years and retire to FRC Destroy 6 years after cutoff
						10A040b	NC1-269-79-01	Claim cases Documents relating to claims by or against the Government resulting from personal injury, property damage, abandoned or unclaimed property, acquisition and disposal of personal and real property, delinquent accounts, and other business transactions of GSA b Disallowed claims	Temporary Cut off at end of fiscal year after disallowance; hold 2 years and retire to FRC Destroy 7 years after cutoff
						10A040c	NC1-269-79-01	Claim cases Documents relating to claims by or against the Government resulting from personal injury, property damage, abandoned or unclaimed property, acquisition and disposal of personal and real property, delinquent accounts, and other business transactions of GSA c Delinquent GSA accounts Documents relating to claims by or against the Government resulting from delinquent accounts of GSA	Temporary Cut off at end of fiscal year after settlement of account Destroy 1 year after cutoff
						10A055b	NC1-269-79-01	Litigation records Documents related to litigation by or against the Government resulting from sales, claims, torts, contracts, foreclosures, actions against GSA officials (personal judgments), criminal actions, titles to real property, and similar matters Included are statements of claims, documentary evidence, copies of condemnation or foreclosure proceedings and decisions, list of witnesses, supporting documents, correspondence, and related records b Other cases	Temporary Cut off at end of fiscal year following closure of case by authority of the General Counsel or disposition by court action Hold 2 years and retire to FRC Destroy 7 years after cutoff
						10A065	NC1-269-79-01	Patent cases Documents created in reviewing invention disclosures of employees and contractors to determine patenting, licensing, assignment, or other disposition action; investigating and disposing of infringement allegations and claims; reviewing use of contract clauses and actions concerning royalties; developing and providing information for use in patent infringement and interference litigation	Temporary Cut off at end of fiscal year following completion of action Hold 2 years and retire to FRC Destroy 23 years after cutoff
269 2	032	Legal Assistance Records	This series contains records related to provision of legal services on matters other than those specifically designated elsewhere These records include services to GSA and other agencies or commissions, reviews, legal advice, representation records, personnel legal assistance records, legal opinions on FOIA requests, Privacy Act, and OIG matters Records may include advice pertaining to suspension and debarment, procurement, appropriations, ethics, public buildings, law enforcement, and the Inspector General Act, as amended as well as personnel issues generally and FOIA and Privacy Act issues that do not relate to a specific request, and related records	Temporary Cut off at the end of the fiscal year when the service was rendered Destroy 7 years after cutoff	T	10A045	NC1-269-79-01	Freedom of Information Act (FOIA) records Documents accumulated in providing legal advice and assistance in implementing FOIA (5 U S C 552) Included are requests for information, interpretations, copies of letters denying access to requested information, and similar records	Temporary Cut off at end of fiscal year, hold 3 years, and retire to FRC Destroy 6 years after cutoff
						10A050	NC1-269-79-01	Legal assistance records Documents accumulated in providing legal advice and counsel to officials of GSA; Presidential Commissions, Committees, and Libraries; and other Federal agencies to assist them in accomplishing their missions and program responsibilities	Temporary Cut off at end of fiscal year, hold 3 years, and retire to FRC Destroy 6 years after cutoff

Bucket	New Series	New Title	New Description	New Disposition	Type	Old GSA Number	Old Disposition Authority	Old Annotated Description	Old Disposition
						10A070	NC1-269-79-01	Personnel action legal assistance records Documents accumulated in rendering legal assistance to GSA officials on personnel actions, advising employees seeking redress of grievances or appealing alleged adverse personnel actions, representing GSA in hearings on contested personnel actions, and similar matters	Temporary Cut off at end of fiscal year, hold 5 years and destroy
						10A075	NC1-269-84-1	Representation records Documents accumulated in representing GSA and other Government agencies in proceedings before Federal and State Regulatory agencies on communications, transportation, similar public utility services, or other matters Included are notices, petitions, briefs, verified statements, transcripts of hearings, written protests, statements relating to the proceedings, and related records	Temporary Cut off at end of fiscal year following completion of case, hold 2 years and retire to FRC Destroy 7 years after cutoff
						10C050	N1-269-05-001	Legal Advice Records accumulated in providing legal advice and counsel to the Inspector General and to OIG components These files include written legal advice, research, and supporting documents, as well as records generated in providing "informal" legal advice Records may include advice pertaining to suspension and debarment, procurement, appropriations, ethics, public buildings, law enforcement, and the Inspector General Act as amended, as well as personnel issues generally and FOIA and Privacy Act issues that do not relate to a specific request	Destroy 10 years after file has been closed and follow up has been completed
269 2	041	Ethics and Financial Disclosure Records	This series contains records related to the collection and management of Financial Disclosure Reports collected from GSA employees, related reports, waivers and exceptions, opinions and review of requests for information in accordance with the Privacy Act (5 U S C 552a(c), Travel Review files, and related records associated with an ethics program	Temporary Cut off at the end fo the fiscal year after collection of the matter, issuance of an opinion, certificate, waiver or exception Destroy 7 years after cutoff	T	GRS 04 2/0	NC1-64-77-1 item 27	Privacy Act accounting of disclosure files Files maintained under the provisions of 5 U S C §552a(c) for an accurate accounting of the date, nature, and purpose of each disclosure of a record to any person or to another agency Includes: • forms with the subject individual's name • records of the requester's name and address • explanations of the purpose for the request • date of disclosure • proof of subject individual's consent	Temporary Dispose of in accordance with the approved disposition instructions for the related subject individual's records, or 5 years after the disclosure for which the accountability was made, whichever is later
						12I165	N1-269-92-2	Request to Inspect or Receive Copies of SF-278, Financial Disclosure Report (OPM Form 201) Documents containing requests by individuals to review the SF 278	Temporary Cut off and destroy 6 years after date of request
						12I170	N1-269-92-002	Ethics Opinions Information related to employees' or their supervisors' request for information on conflict of interest or standards of conduct matters Topics include conflicting financial interests, gratuities, outside employment, post-employment, and procurement integrity matters NOTE: These records are vital records (see ch 5-2, GSA Records Handbook)	Disposable Review at end of fiscal year; destroy when no longer needed
						12I180	N1-269-92-2	Survey reports Annual documents filed with OGE on the state of the agency's ethics program	Temporary Destroy 6 years after the report is forwarded to OGE
						12I185	N1-269-92-2	Certificates of Divestiture Documents collected under sec 1043 of the Internal Revenue Code of 1986 and the Ethics Reform Act of 1989, including implementing regulations permitting the issuance of a certificate of divestiture to an eligible person who is required to dispose of property to comply with conflict of interest requirements NOTE: These records are vital records (see ch 5-2, GSA Records Handbook)	Temporary Destroy 6 years after OGE issues Certificate
						12I190	N1-269-92-2	Exemptions and waivers Documents collected under sections 203(d), 205(e), and 208(b) of title 18, United States Code NOTE: These records are vital records (see ch 5-2, GSA Records Handbook)	Temporary Destroy 6 years after waiver is issued

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						12I195	N1-269-92-002	Ethics program files Files pertaining to implementing the ethics program This category does not apply to 9B30 reading files	Disposable Review at end of fiscal year; destroy when superseded or obsolete
						12I200a	N1-269-92-2	Travel review files Documents collected under 31 U S C sec 1353, Governmentwide regulation, and internal GSA policy Included are documents which determine whether the agency can accept travel expenses from a non-Federal source a Documents not needed in an investigation	Temporary Cut off at end of fiscal year after request filed with the Special Counsel Destroy 6 years after cutoff
						12I200b	N1-269-92-2	Travel review files Documents collected under 31 U S C sec 1353, Governmentwide regulation, and internal GSA policy Included are documents which determine whether the agency can accept travel expenses from a non-Federal source b Documents needed in an investigation	Maintain and destroy with investigatory case file
269 2	051	General Counsel Program Administrative Records	This series contains records relating to the management of the Office of General Counsel Such records include correspondence, memoranda, and documents related to general legal services which cannot be filed elsewhere in this schedule, potential legal cases, summary and program management reports and related records	Temporary Cut off at the end of the fiscal year Destroy when superseded, no longer needed for business reference, or 7 years after cutoff, whichever is sooner	T	10C001	N1-269-05-001	JC Subject Files Correspondence, memoranda and documents relating to general legal services that, because of their nature, cannot logically be filed in one of the specific categories described in this appendix	Temporary Review annually, destroy superseded or obsolete records
						10A001	NC1-269-79-01	General Legal Subjects Correspondence, memoranda and documents relating to general legal services which, because of their nature, cannot logically be filed in one of the specific categories described in this appendix	Temporary Cut off at the end of the fiscal year, hold 2 years, and retire to FRC Destroy 6 years after cutoff
						10A025	NC1-269-79-01	Potential Legal cases Documents relating to accidents, incidents, contrats, actions, or other matters that, although not controversial, may result in litigation, suit, claim, appeal, or other proceeding When litigation, suite, claim, appeal or other proceeding arises in connection with a matter contined in this file, the pertinent documents will be withdrawn and filed in the case file for the litigation, claim, appeal or other proceeding	Temporary Cut off at the end of the fiscal year, hold 2 years, and retire to FRC Destroy 6 years after cutoff
						10A036b	N1-269-87-11	Protests to Comptroller General Documents relating to bidders and contractor protests to the Comptroller General on solicitation issued or contracts entered into by GSA Included are General Accounting Office requests for reports on the protests, administrative reports, and related records b No litigation pending	Disposable Cut off at end of fiscal year Destroy 1 year after cutoff



<b>Bucket 269.3 - Budget, Finance, and Contractor Management Records</b> <div> This record group is concerned with record series created and referenced in compiling, tracking, and reporting on the development of GSA's annual budget and the case files created with regard to contractor suspension and debarments. Unlike the GRS schedule 5 on Budgeting, these records are kept longer for historical and business reference purposes. These record types address recordkeeping needs described in the OMB Circular A-11; Preparation, Submission, and Execution of the Budget (June 2015), Section 31.8. This schedule supersedes all previously GSA-scheduled items in this area not covered by NARA's General Records Schedule. </div>									
<i>Bucket</i>	<i>New Series</i>	<i>New Title</i>	<i>New Description</i>	<i>New Disposition</i>	<i>Type</i>	<i>Old GSA Number</i>	<i>Old Disposition Authority</i>	<i>Old Annotated Description</i>	<i>Old Disposition</i>
269.3	010	Budget Estimates and Justifications	Record copies of documents accumulated or created in preparing, reviewing, and coordinating the annual and supplemental budget estimates, budget guidelines, forecasts, mail and other common costs, published estimates, allowance letters, and justifications.	Permanent. Cut off at the end of the fiscal year after publication. Transfer to NARA 15 years after cutoff.	P	08H001a	NC1-269-76-2	Budget forecasts. Documents created or accumulated in preparing, coordinating and approving annual and supplementary budgetary forecasts and in submitting them to the Office of Management and Budget (OMB). Included are record copies of published agencywide forecasts and summaries thereof, instructions regarding preparation of the forecasts, notifications of due dates, memorandums or other papers relating to internal hearings, resumes of OMB discussions, and related records. a. Published record copies. Published record copies of published agencywide forecasts and summaries thereof.	Temporary. Cut off at the end of the fiscal year, hold 3 years and retire to FRC. Destroy 10 years after cutoff.
						08H005a	NC1-269-76-2	Budget estimates and justifications: Record Copies. Record copies of documents accumulated or created in preparing, reviewing, and coordinating the annual and supplemental budget estimates, budget guidelines, mail and other common costs, published estimates, and allowance letters.	Permanent. Cut off at the end of the fiscal year. Retire to FRC 3 years after cutoff. Transfer to NARA 10 years after cutoff.
269.3	020	Budget Digests	Documents reflecting, in digest form, a comprehensive history of appropriations; programs; obligations, expenditures, workload, performance, cost, and employment data, and similar information about annual and supplemental budgets (Budget digests are updated annually by page changes).	Permanent. Cut off at the end of the fiscal year for all changes made that year. Preserve an annual digest of the changes. Transfer annual digest to NARA 15 years after cutoff.	P	08H065a	NC1-269-76-2	Budget digests. Documents reflecting, in digest form, a comprehensive history of appropriations; programs; obligations; expenditures; workload, performance, cost, and employment data; and similar information about annual and supplemental budgets. (Budget digests are updated annually by page changes.) a. Record copies.	Permanent. Cut off revised pages in 5-year blocks, hold 5 years, and retire to FRC. Transfer to NARA 10 years after cutoff.
269.3	030	Accounting Reports	Financial and statistical reports received, reviewed, summarized, and maintained by the agency-wide office responsible for submitting budgets and reporting on obligations and expenditures. This combined annual report is the record copy.	Permanent. Cut off at the end of the fiscal year after publication of the report. Transfer to NARA 15 years after cutoff.	P	08A025a	NC1-269-77-1	Accounting reports: Copies of financial and statistical reports received, reviewed, summarized, and maintained by Central Office except report files described elsewhere in this chapter. a. Combined annual reports.	Permanent. Cut off at the end of the fiscal year; hold 5 years and retire to FRC. Transfer to NARA 10 years after cutoff.
269.3	041	Contractor Suspension and Debarment Case File Records	Information relating to investigation of (1) contractors and potential contractors for suspension or debarment from contracting with the Federal government and/or for exclusion from acting as individual sureties, and (2) participants for suspension or debarment from participating in certain types of Federal financial and non-financial assistance and benefits. Included are case files that generally contain a copy of the investigative report, indictments and/or convictions, other court documents, other documentation of the contractor's actual or alleged wrongdoing, incorporation papers, suspension or debarment notices (including those received from other Federal agencies), and other related correspondence and records. Also included are System for Award Management (SAM) exclusion listings.	Temporary. Cut off at the end of the fiscal year following decision on debarment or suspension. Destroy 6 years after cutoff.	T	05B035a	NC1-269-83-4	Contractor/participant debarment and suspension records. Information relating to investigation of (1) bidders and contractors for debarment or suspension from contracting with the Federal government and/or for exclusion from acting as individual sureties, and (2) participants for debarment or suspension from participating in certain types of Federal financial and non-financial assistance and benefits. Included are case files that generally contain a copy of the investigative report, indictments and/or convictions, incorporation papers, debarment or suspension notices (including those received from other Federal agencies), General Services Board of Contract Appeals (GSBCA) hearing files, and other general correspondence. Also included are the hardcopy versions of the Lists of Parties Excluded from Federal Procurement or Nonprocurement Programs (Lists) and related correspondence. a. Case Files.	Temporary. Cut off at the end of the fiscal year following decision on debarment or suspension; destroy 6 years and 3 months after cutoff.
269.3	042	Contractor Suspension and Debarment Record Resource Material	Feeder reports, correspondence, materials supporting the findings within the case file or reviewed for purposes of investigating parties for potential Suspension and Debarment Official action. Included are memorandum and letter drafts, and related correspondence and records.	Temporary. Cut off at the end of the fiscal year following decision on debarment or suspension. Destroy 6 years after cutoff.	T	05B035b	NC1-269-83-4	Contractor/participant debarment and suspension records. Contractor/participant debarment and suspension records. Information relating to investigation of (1) bidders and contractors for debarment or suspension from contracting with the Federal government and/or for exclusion from acting as individual sureties, and (2) participants for debarment or suspension from participating in certain types of Federal financial and non-financial assistance and benefits. Included are case files that generally contain a copy of the investigative report, indictments and/or convictions, incorporation papers, debarment or suspension notices (including those received from other Federal agencies), General Services Board of Contract Appeals (GSBCA) hearing files, and other general correspondence. Also included are the hardcopy versions of the Lists of Parties Excluded from Federal Procurement or Nonprocurement Programs (Lists) and related correspondence. b. Working documents.	Disposable. Review at the end of the fiscal year; destroy when no longer needed.

### **269.3 Budget, Finance, and Contractor Management Records**

This record group is concerned with record series created and referenced in compiling, tracking, and reporting on the development of GSA's annual budget and the case files created with regard to contractor suspension and debarments. Unlike the GRS schedule 5 on Budgeting, these records are kept longer for historical and business reference purposes. These record types address recordkeeping needs described in the OMB *Circular A-11; Preparation, Submission, and Execution of the Budget* (June 2015), Section 31.8. This schedule supersedes all previously GSA-scheduled items in this area not covered by NARA's General Records Schedule.

#### *269.3/010 – Budget Estimates and Justifications*

*Description:* Record copies of documents accumulated or created in preparing, reviewing, and coordinating the annual and supplemental budget estimates, forecasts, budget guidelines, mail and other common costs, published estimates, allowance letters, and justifications.

*Retention:* Permanent. Cut off at the end of the fiscal year after publication. Transfer to NARA 15 years after cutoff.

#### *269.3/020 – Budget Digests*

*Description:* Documents reflecting, in digest form, a comprehensive history of appropriations; programs; obligations, expenditures, workload, performance, cost, and employment data, and similar information about annual and supplemental budgets (Budget digests are updated annual by page changes).

*Retention:* Permanent. Cut off at the end of the fiscal year for all changes made that year. Preserve an annual digest of the changes. Transfer annual digest to NARA 15 years after cutoff.

#### *269.3/030 – Accounting Reports*

*Description:* Financial and statistical reports received, reviewed, summarized, and maintained by the agency-wide office responsible for submitting budgets and reporting on obligations and expenditures. This combined annual report is the record copy.

*Retention:* Permanent. Cut off at the end of the fiscal year after publication of the report. Transfer to NARA 15 years after cutoff.

#### *269.3/041 – Contractor Suspension and Debarment Case File Records*

*Description:* Information relating to investigation of (1) contractors and potential contractors for suspension or debarment from contracting with the Federal government and/or for exclusion from acting as individual sureties, and (2) participants for suspension or debarment from participating in certain types of Federal financial and non-financial assistance and benefits. Included are case files that generally contain a copy of the investigative report, indictments and/or convictions, other court documents, other documentation of the contractor's actual or alleged wrongdoing, incorporation papers, suspension or debarment notices (including those received from other Federal agencies), and other related correspondence and records. Also included are System for Award Management (SAM) exclusion listings.

*Retention:* Temporary. Cut off at the end of the fiscal year following decision on debarment or suspension. Destroy 6 years after cutoff.

*260.3/042 Contractor Suspension and Debarment Record Resource Material*

*Description:* Feeder reports, correspondence, materials supporting the findings within the case file or reviewed for purposes of investigating parties for potential Suspension and Debarment Official action. Included are memorandum and letter drafts, and related correspondence and records.

*Retention:* Temporary. Cut off at the end of the fiscal year following decision on debarment or suspension. Destroy 6 years after cutoff.

Bucket 269.6 - Professional Services To and With Other Agencies				This group of records is concerned with services that GSA performs for other agencies. Such services include Presidential and Vice-Presidential Transitions, Committee Management Secretariat Program Management, and managing regulation documents for all Federal Agencies such as the Federal Acquisitions Regulations (FAR), Federal Management Regulations (FMR), and the Federal Travel Regulations (FTR). Also included are activities supporting developing new non-IT shared services with federal, state, and municipal agencies and compiling reports on behalf of the government agencies. The records in this group supersede any previously-scheduled GSA records.					
Bucket	New Series	New Title	New Description	New Disposition	Type	Old GSA Number	Old Disposition Authority	Old Description	Old Disposition
269.6	10	Presidential Transition Records	This series of records encompass all records concerned with GSA's involvement with the transitions of U.S. Presidents and Vice Presidents and inaugural events in compliance with GSA Directive ADM 1080.1D - GSA Support for Eligible Presidential Candidates, Presidential Transition and Inaugural Events, the Presidential Transition Acts of 1963 (3 U.S.C. 102) and 2000 (P.L. 106-293), as amended, the Presidential Transition Effectiveness Act of 1988 (P.L. 100-398), The Pre-Election Presidential Transition Act of 2010 (P.L. 111-283), The Federal Property and Administrative Services Act of 1949, as amended (40 U.S.C. Sec. 581e). These records include: correspondence, memorandums of understanding, agreements, inventories, financial estimates, justifications, budgets, accounting reports, copies of official reports to Congress, and other deliverables as described in the laws and directive listed above.	Cut off 7 months after the Presidential Inauguration date or after last payment of obligated funds, whichever is later. Transfer to NARA 15 years after cutoff.	P			New Record.	
269.6	20	Committee Management Secretariat Records	This series of records concerns those records maintained by the GSA Committee Management Secretariat for oversight purposes as described in GSA ADM P 5420.40D CHGE 1. The records in this series differ from those in GRS 6.2 in that the records in this schedule pertain to the execution of FACA and Committee Oversight powers vested in the GSA Administrator through the GSA Committee Management Secretariat in accordance with Executive Order 12024 (1977), and the Federal Advisory Committee Act, as amended (5 U.S.C. App. 1) (1973) and OMB Circular 135 (1994). Included are the Annual Report on Committees to the President and any other reports to parties outside the agency as required and related records.	Cut off at the end of the fiscal year that the report was published. Transfer to NARA 15 years after cutoff.	P	11B005	NC1-269-84-02	President's Annual Report on Federal Advisory Committees file. Documents created in reviewing agency submissions for the President's report to the Congress, and preparing the report and transmittal. Included are instructions to agencies, coordination and clearance files, Congressional correspondence, records on publishing the summary volume, and a copy of the summary volume.	Permanent. Cut off annually, hold 4 years, and offer to NARA in 4 year blocks.
						11B010	NC1-269-84-02	Annual review of federal advisory committee files. Documents for reviewing and making recommendations on agency submissions on individual advisory committees and on agency advisory committee management. Included are instructions to agencies; clearance files; reports, and correspondence.	Permanent. Cut off annually, hold 4 years, and offer to NARA in 4 year blocks.
						11B002a	NC1-269-84-2	Committee management records. Documents created in establishing, operating, and dissolving committees. Included are proposals, approvals, and disapprovals; charters; copies of directives establishing, changing, continuing, or dissolving committees; information reflecting the nomination, appointment, and relief of committee members; notices, agendas, minutes, and related records. a. Documents created in Office of the chairperson or secretariat, whichever is designated office of record in the establishing, operating, and dissolving committees. Included are proposals, approvals, and disapprovals; charters; copies of directives establishing, changing, continuing, or dissolving committees; information reflecting the nomination, appointment, and relief of committee members; notices, agendas, minutes, and related records.	Permanent. Cut off at end of fiscal year; retire to FRC when no longer needed for current operations. Transfer to NARA 10 years after cutoff.
						11B001	NC1-269-84-02	Committee management policy file. Documents relating to GSA's oversight responsibilities for implementing the Federal Advisory Committee Act (FACA), as amended, Pub. L. 92-463, 5 U.S.C., App. Included are directives, memorandums, to Federal agencies; reviews of legislation; Congressional correspondence, hearings and testimony; GAO reports and related correspondence; Committee Management Secretariat studies and reports; reorganization and transition files; and policy and procedures files.	Permanent. Cut off at the end of the fourth year after each Presidential administration, hold 4 years, and offer to NARA in 4 year blocks.
						11B020	NC1-269-84-02	Agency general case files. Documents from advisory committee, filed by agency. Included are transmittals of annual reports, transmittals of annual reviews, and related correspondence.	Permanent. Cut off at the end of the fourth year after each Presidential administration, or cut off on the date when the agency's program or all its committees end, hold 4 years, and offer to NARA.



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269 6	21	Committee Management Secretariat Program Files	This series represents the Administrative activities of the Committee Management Secretariat office while carrying out the day to day responsibilities outlined in the orders and laws listed above. Included are instructions and procedures for Committees, collection and compilation of annual federal agency committee management plans, tracking reports on OMB committee goals, annual report development materials, correspondence, and related records.	Cut off at the end of the fiscal year Destroy 6 years after cutoff	T	11B002b	NC1-269-80-2	Committee management records. Documents created in establishing, operating, and dissolving committees. Included are proposals, approvals, and disapprovals; charters; copies of directives establishing, changing, continuing, or dissolving committees; information reflecting the nomination, appointment, and relief of committee members; notices, agendas, minutes, and related records. b. Committee member copies.	Disposable. Cut off at end of fiscal year; destroy 2 years after cutoff.
						11B025	NC1-269-84-02	Presidential advisory committee case files. Documents filed by committee, on each Presidential Advisory Committee. Included are the charter, chartering filing memorandums and transmittals, statutes and Executive Orders, and documents received or transmitted; e.g., annual reports and annual reviews, reports to the President, follow-up reports to the Congress, and committee correspondence.	Cut off at the end of the fourth year after each Presidential administration, or cut off on the date the committee ends, hold 4 years, and retire to FRC. Destroy when 12 years old.
						11B030	NC1-269-84-02	Federal advisory committee case files. Documents on each non-Presidential Federal Advisory Committee chartered under the Federal Advisory Committee Act. Included are the charter, chartering filing memorandum and transmittals, copies of agency decisions, statutes, and Executive Orders and documents received or transmitted, e.g., annual reports and annual reviews, consultations for establishment, reestablishment, or renewal, and committee correspondence.	Cut off at the end of the fourth year after each Presidential administration or cut off on the date the committee ends, hold 4 years, and retire to FRC. Destroy when 12 years old.
						11B040a	NN-172 223	Non-Federal advisory committee case files: Documents on committees created under GSA Order, Committee Management (ADM 5420 40D) (Documents filed are not subject to, or not established under, the Federal Advisory Committee Act (FACA)). Included are documents establishing continuing committees and dissolving joint, interagency, intra-agency, and extra-governmental committees, including councils, boards, commissions, panels, and comparable groups. Included are proposals, approvals, charters, reports on the status of committees and related records. a. Documents maintained by GSA office responsible for establishing continuing committees and dissolving joint, interagency, intra-agency, and extra-governmental committees, including councils, boards, commissions, panels, and comparable groups.	Disposable. Cut off at end of fiscal year when the committee ends or if it is not approved. Destroy when no longer needed.
						11B040b	NN-172 223	Non-Federal advisory committee case files: Documents on committees created under GSA Order, Committee Management (ADM 5420 40D) (Documents filed are not subject to, or not established under, the Federal Advisory Committee Act (FACA)). Included are documents establishing continuing committees and dissolving joint, interagency, intra-agency, and extra-governmental committees, including councils, boards, commissions, panels, and comparable groups. Included are proposals, approvals, charters, reports on the status of committees and related records. b. Other offices.	Disposable. Cut off at end of fiscal year when the committee ends or if it is not approved. Destroy 2 years after cutoff.
						15A130a	N1-269-87-2	Metric system of measurement. Information relating to GSA's participation in meetings of the Interagency Committee on Metric Policy, the Executive Board of the Metrication Operating Committee, and the American National Metric Council. Included are approval decisions of interagency policy drafts and publications and annual reports of the Metrication Operation Committee. a. Record copies. Record copies of approval decisions of interagency policy drafts and publications and annual reports of the Metrication Operation Committee.	Temporary. Cut off at end of fiscal year; destroy 5 years after cutoff.
						15A130b	N1-269-87-2	Metric system of measurement. Information relating to GSA's participation in meetings of the Interagency Committee on Metric Policy, the Executive Board of the Metrication Operating Committee, and the American National Metric Council. Included are approval decisions of interagency policy drafts and publications and annual reports of the Metrication Operation Committee. b. Copies and drafts. Nonrecord copies of approval decisions of interagency policy drafts and publications and annual reports of the Metrication Operation Committee.	Disposable. Destroy when superseded or obsolete.
						11B002a	NC1-269-84-02	Committee management secretariat administration and management file. Documents on organizing, staffing, training, and administering the Office of the Secretariat. Included are GSA reports and briefings; personnel items; correspondence, forms, records management files; Committee Management Information System (CMIS) files; and annual meeting files.	Destroy when superseded, or no longer needed.

<i>Bucket</i>	<i>New Series</i>	<i>New Title</i>	<i>New Description</i>	<i>New Disposition</i>	<i>Type</i>	<i>Old GSA Number</i>	<i>Old Disposition Authority</i>	<i>Old Description</i>	<i>Old Disposition</i>
						11B035	NC1-269-84-2	Advisory committee nonconcurrence recommendation; consultation withdrawal; and concurred-in but not-chartered committee case files Documents on each proposed advisory committee not chartered under the Federal Advisory Committee Act Included are agency consultations; notices of agency withdrawals; letters of nonconcurrence and related correspondence	Temporary Cut off at the end of the fiscal year, four years after each Presidential administration Hold 4 years, and retire to FRC Destroy 12 years after cutoff
269 6	30	Federal Agency Regulation Documents Case Files	This series is concerned with managing the Federal Regulations Manuals and other reports publicly managed as a standard used by federal agencies or compiled and published on behalf of all agencies Such documents include, but are not limited to the Federal Management Regulations (FMR), the Federal Travel Regulations (FTR), and the Federal Acquisition Regulations (FAR) and the Federal Real and Personal Property report (FRPP) Included are any reviews, reports, or case files on revisions, correspondence, research, analyses, findings and/or recommendations used to change these documents Also included is an annual master copy (taken at the end of each fiscal year) as a record copy for that fiscal year	Cut off at the end of the fiscal year when the change is published For master document record copies, cut off at the end of each fiscal year and retain a copy Transfer to NARA 15 years after cutoff	P	08A030a	NC1-269-77-1	Real property inventory reports Governmentwide reports of real property owned by, leased by, or under the jurisdiction of, the U S Government Included are agency reports and related records a Record copy	Permanent Cut off at the end of the fiscal year; hold 2 years and retire to FRC Transfer to NARA 10 years after cutoff
269 6	41	Interagency Agreement and Report Development Files	This series is focused on developing new services and arrangements for services with other federal, state, and municipal agencies as well as the feeder reports from those same agencies for purposes of compiling Governmentwide reports	Temporary Cut off at the end of the fiscal year when the agreement is terminated or when the report is published Destroy 3 years after cutoff Longer retention is authorized if needed for business purposes	T	08A030c	NC1-269-77-1	Real property inventory reports Governmentwide reports of real property owned by, leased by, or under the jurisdiction of, the U S Government Included are agency reports and related records c Agency reports and related papers	Disposable Cut off at end of fiscal year; destroy 1 year after cutoff
						08H015	NC1-269-76-2	Budgetary agreements Documents accumulated for supporting requests for funds to cover reimbursable or similar operations Included are copies of agreements and related records	Temporary Cut off at the end of the fiscal year Destroy 3 years after cutoff
						11A001a	N1-269-87-004	Agreement documents and controls Documents accumulated in controlling and reviewing agreements, memorandums of understanding, and similar records signed by representatives of GSA and of other Federal agencies and State or local governments Included are control logs, sheets or registers: a reference set of signed agreements that pertain to committing resources, delineating responsibility, and related records Examples of agreements covered by this paragraph include (a) establishing standards under which management responsibility for common use commercial commodities is assigned to the Department of the Defense or GSA; (b) furnishing reimbursable design and construction, transportation, or communications services, and (c) assigning responsibility for handling riots or demonstrations (Agreements with employee union, contracts, leases, easements, job orders, bills of sale, and purchase orders are not covered by these instructions ) a Control logs, sheets or registers	Disposable Destroy when superseded or obsolete If there is a dispute, hold until dispute is settled
						11A001b	N1-269-87-004	Agreement documents and controls Documents accumulated in controlling and reviewing agreements, memorandums of understanding, and similar records signed by representatives of GSA and of other Federal agencies and State or local governments Included are control logs, sheets or registers: a reference set of signed agreements that pertain to committing resources, delineating responsibility, and related records Examples of agreements covered by this paragraph include (a) establishing standards under which management responsibility for common use commercial commodities is assigned to the Department of the Defense or GSA; (b) furnishing reimbursable design and construction, transportation, or communications services, and (c) assigning responsibility for handling riots or demonstrations (Agreements with employee union, contracts, leases, easements, job orders, bills of sale, and purchase orders are not covered by these instructions ) b Reference copies of agreements and related records	Disposable Destroy when terminated, canceled, or superseded

## **269.6 –Professional Services to and with Other Agencies**

This group of records is concerned with services that GSA performs for other agencies. Such services include Presidential and Vice-Presidential Transitions, Committee Management Secretariat Program Management, and managing regulation documents for all Federal Agencies such as the Federal Acquisitions Regulations (FAR), Federal Management Regulations (FMR), and the Federal Travel Regulations (FTR). Also included are activities supporting developing new non-IT shared services with federal, state, and municipal agencies and compiling reports on behalf of the government agencies. The records in this group supersede any previously-scheduled GSA records.

### *269.6/010 – Presidential Transition Records*

This series of records encompass all records concerned with GSA's involvement with the transitions of U.S. Presidents and Vice Presidents and inaugural events in compliance with GSA Directive *ADM 1080.1D - GSA Support for Eligible Presidential Candidates, Presidential Transition and Inaugural Events*, the Presidential Transition Acts of 1963 (3 U.S.C. 102) and 2000 (P.L. 106-293), as amended, the Presidential Transition Effectiveness Act of 1988 (P.L. 100-398), The Pre-Election Presidential Transition Act of 2010 (P.L. 111-283), The Federal Property and Administrative Services Act of 1949, as amended (40 U.S.C. Sec. 581e). These records include: correspondence, memorandums of understanding, agreements, inventories, financial estimates, justifications, budgets, accounting reports, copies of official reports to Congress, and other deliverables as described in the laws and directive listed above.

*Permanent.* Cut off 7 months after the Presidential Inauguration date or after last payment of obligated funds, whichever is later. Transfer to NARA 15 years after cutoff.

### *269.6/020 – Committee Management Secretariat Records*

This series of records concerns those records maintained by the GSA Committee Management Secretariat for oversight purposes as described in GSA ADM P 5420.40D CHGE 1. The records in this series differ from those in GRS 6.2 in that the records in this schedule pertain to the execution of FACA and Committee Oversight powers vested in the GSA Administrator thru the GSA Committee Management Secretariat in accordance with Executive Order 12024 (1977), and the Federal Advisory Committee Act, as amended (5 U.S.C. App. 1) (1973) and OMB Circular 135 (1994). Included are the Annual Report on Committees to the President and any other reports to parties outside the agency as required and related records.

*Permanent.* Cut off at the end of the fiscal year that the report was published. Transfer to NARA 15 years after cutoff.

#### *269.6/021 – Committee Management Secretariat Program Files*

This series represents the Administrative activities of the Committee Management Secretariat office while carrying out the day to day responsibilities outlined in the orders and laws listed above. Included are instructions and procedures for Committees, collection and compilation of annual federal agency committee management plans, tracking reports on OMB committee goals, annual report development materials, correspondence, and related records.

*Temporary.* Cut off at the end of the fiscal year. Destroy 6 years after cutoff.

#### *269.6/030 – Federal Agency Regulation Documents Case Files*

This series is concerned with managing the Federal Regulations Manuals and other reports publicly managed as a standard used by federal agencies or compiled and published on behalf of all agencies. Such documents include, but are not limited to the Federal Management Regulations (FMR), the Federal Travel Regulations (FTR), and the Federal Acquisition Regulations (FAR) and the Federal Real and Personal Property report (FRPP). Included are any reviews, reports, or case files on revisions, correspondence, research, analyses, findings and/or recommendations used to change these documents. Also included is an annual master copy (taken at the end of each fiscal year) as a record copy for that fiscal year.

*Permanent.* Cut off at the end of the fiscal year when the change is published. For master document record copies, cut off at the end of each fiscal year and retain a copy. Transfer to NARA 15 years after cutoff.

#### *269.6/041 – Interagency Agreement and Report Development Files*

This series is focused on developing new services and arrangements for services with other federal, state, and municipal agencies as well as the feeder reports from those same agencies for purposes of compiling Governmentwide reports.

*Temporary.* Cut off at the end of the fiscal year when the agreement is terminated or when the report is published. Destroy 3 years after cutoff. Longer retention is authorized if needed for business purposes.




## **269.7 Internal Information Technology Services to GSA**

This group is concerned with agency IT support and administration activities not listed in the General Records Schedule or elsewhere in the GSA schedules. Also included are records kept in compliance with IT Governance activities, FITARA, and Clinger-Cohen Act.

### *269.7/011 – Information Technology Program Records*

This series is concerned with the administration of the internal agency IT program. Such records include routine IT Acquisitions records concerning the purchasing, leasing, and licensing of software, hardware, equipment, and services. Also included are records not covered by any other series in either GSA or GRS schedules.

*Disposition:* Temporary. Cut off at the end of the fiscal year. Destroy 6 years after cutoff unless needed for business or reference purposes. XXXX 

### *269.7/021 – Information Technology Standards and Specification Records*

This series is concerned with standards, references, and specifications either created within the agency or referenced in IT contracts as a standard to measure performance against. Included are standards and specifications from ISO, ANSI, or industrial and trade standards used. Records collected in this collection are maintained for as long as they are referenced in active contracts, arrangements, agreements, or other related records.

*Disposition:* Temporary. Cut off record at the end of the fiscal year after the last referencing record is closed. Destroy 5 years after cutoff. If this standard, reference, or specification is superseded, canceled, or no longer valid, destroy 5 years after supersession or cancellation.

Bucket 269.7 - Internal Information Technology Services to GSA				This group is concerned with agency IT support and administration activities not listed in the General Records Schedule or elsewhere in the GSA schedules. Also included are records kept in compliance with IT Governance activities, FITARA, and Clinger-Cohen Act. This schedule supersedes previous GSA schedules found in GSA Record Groups 352 and 172.					
Bucket	New Series	New Title	New Description	New Disposition	Type	Old GSA Number	Old Disposition Authority	Old Annotated Description	Old Disposition
269.7	011	Information Technology Support Program Records	This series is concerned with the administration of the internal agency IT program. Such records include routine records concerning the purchasing, leasing, and licensing of software, hardware, equipment, and services. This series is intended for use with small purchases in support of larger technology procurement and support services. Also included are records not covered by any other series in either GSA or GRS schedules.	Temporary. Cut off at the end of the fiscal year. Destroy 6 years after cutoff unless needed for business or reference purposes.	T	02D001	NC1-352-81-001	ADP acquisition case records. Documents relating to planning for, selecting, evaluating, procuring, installing and reviewing the performance of automatic data processing equipment and major auxiliary items. Included are preliminary designs, feasibility and application studies, system specifications and reports, manufacturer's proposals and evaluations, installation documents, readiness reviews and performance evaluations and related records.	Temporary. Cut off at end of fiscal year following installation of equipment or system, or determination that equipment or system will not be installed; destroy 5 years after cutoff.
						02D005	NC1-352-81-002	ADP equipment requests. Documents resulting from the preparation of requirements for ADP equipment, accessories, and modifications. Included are justifications, annual equipment rental requisitions, copies of maintenance contracts, discontinuing lease letters and related records.	Temporary. Cut off at end of fiscal year; destroy 2 years after cutoff.
						02D015	NC1-352-81-002	Invoice certification. Records accumulated by data processing offices while reviewing, certifying and forwarding invoices to accounts payable and other documents related to billing for equipment leases and maintenance services. Included are billable time reports, meter readings, additional-use authorizations, copies of vendor invoices, and related records.	Temporary. Cut off at the end of the fiscal year; delete 4 years after cutoff.
						02D025	NC1-352-81-001	ADP supply records. Documents created in specifying requirements for and to coordinate the procurement of tapes, punched cards, marginally punched custom-made forms, or comparable supplies. Included are justifications and notifications for actions taken regarding tape procurement; annotated card, form listings; and related records.	Temporary. Cut off at end of fiscal year; destroy 2 years after cutoff.
						04D060a	NN-172-22	ADP Equipment Data System (ADPE/DS) Inventory, manpower, and cost master files.	Temporary. Cut off at end of fiscal year; delete 20 years after cutoff.
						04D060b	NN-172-22	ADP Equipment Data System (ADPE/DS) Other files.	Temporary. Cut off at end of fiscal year; delete 5 years after cutoff.
269.7	020	GSA-Designed Information Technology Standards and Specifications	This series addresses the GSA-designed or contracted standards or specifications that are published and used by GSA and other agencies. Such records include GSA Web Design Standards, FedRAMP standards, or other similar types of IT-related documents. This record is only the final standard, not the supporting or developmental material used to create that standard.	Permanent. Cut off at the end of each fiscal year and save a copy of the standard. Transfer to NARA 15 years after cutoff.  If the standard or specification is discontinued, cut off record at the end of the fiscal year and transfer to NARA 15 years after cutoff.	P			New Record Type	
269.7	021	Non-GSA-Designed Information Technology Standards and Specifications	This series is concerned with standards, references, and specifications referenced in IT contracts as a standard to measure performance against. Included are standards and specifications from ISO, ANSI or industrial and trade standards used. Records collected in this collection are maintained for as long as they are referenced in active contracts, arrangements, agreements, or other related records.	Temporary. Cut off record at the end of the fiscal year after this standard, reference, or specification is superseded, canceled, or no longer valid, destroy 12 years after cutoff.	T	02D020	NC1-352-81-002	Technical information memorandums and dispatches. Documents accumulated in preparing and issuing documents to report hardware and software problems, data processing system deficiencies, and data processing facts for inclusion and dissemination in published technical information memorandums.	Temporary. Cut off at end of fiscal year; destroy 5 years after cutoff.

## Bucket 269.1 - Agency Administrative Records

These records are created, referenced and maintained by many offices within GSA to supplement routine records found in the General Records Schedule. They include programmatic records (such as Committees, Legislative Review, and Audit Review) as well as detailed records (Communications, Security, and Program Management-related). The records in this group supersede all previously-approved GSA Schedules.

### Sub-bucket 269.11 - Program Management Records

This group of records is concerned with the routine program records that are not listed in the General Records Schedule or have a disposition different from that of the GRS. This schedule supersedes all previous GSA-scheduled records where it does not conflict with the General Records Schedule.

Sub-Bucket	New Series	New Title	New Description	New Disposition	Type	Old GSA Number	Old Disposition Authority	Old Annotated Description	Old Disposition
269 11	010	Decisions, Issuances, and Directives	This series covers decision papers, interpretation of laws and directives, and issuances issued by Heads of Staff and Services Offices and the Administrator's Office, and security directives issued under the Information Security Oversight Orders (ISOO)	Permanent Cut off at the end of the fiscal year when issued Transfer to NARA 15 years after cutoff	P	01B001a(1)	NC1-269-80-2	General correspondence and decision files. Records accumulated by the Office of the Administrator and by Heads of SSOs under any major subject category, other than office administration, in managing and carrying out the functions assigned to GSA. a Office of the Administrator, HSSO's: (1) Decisions papers, instructions, clearances, interpretations of laws and directives. copy retained by the Executive	Permanent Send the record copy to the Executive Secretariat immediately after signature. Cut off at the end of the fiscal year; hold 2 years and retire to FRC. Transfer to NARA 10 years after cutoff
						02A035d	NC1-269-84-3	Directive Case Files: Information Security Oversight Orders. Information Security Oversight Executive orders and implementing directives. Documents showing the preparation, review, clearance and publication of orders, directives, rules, and regulations concerning the protection of national security information.	Permanent Cut off at end of fiscal year Transfer to FRC 6 years after cutoff Transfer to NARA 10 years after cutoff in 5-year blocks
269 11	011	Internal Project Case Files, and Administrator Reports	This series includes special projects from the Administrator's office, unapproved directive case files, programming reports, deficiency reports and related records	Temporary Cut off at the end of the fiscal year when the report is issued, project completed, and when deficiencies are corrected. Destroy 5 years after cutoff. For unapproved directive case files, cut off when initially drafted and destroy 20 years after cutoff or when signed, whichever comes sooner	T	01B001b	NC1-269-80-2	General correspondence and decision files. b Regional Administrators. Records accumulated under any major subject category, other than office administration, in managing and carrying out the functions assigned to GSA. Included are requests for information, issuances and interpretation of directives, planning documents, reports, correspondence and related records	Cut off at the end of the fiscal year; hold 2 years and retire to FRC. Destroy 7 years after cutoff
						02A035b	N1-269-90-3	Directive Case Files: Directives not signed by Administrator. Files maintained by offices originating the directive	Temporary Place in inactive file when superseded or canceled. Cut off at the end of the fiscal year and retire to FRC; destroy 20 years after cutoff
269 11	020	Annual Significant Reports and Studies	This series includes documents created in reporting on management improvement goals, progress reports, and accomplishments for GSA internal and external Governmentwide programs. Also included in this series are special studies conducted at the request of the Congress, the Office of Management and Budget (OMB), or the Office of Personnel Management (OMB), and the GSA Annual Report issued by the Administrator's Office and related records	Permanent Cut off at the end of the fiscal year that the report has been issued. Transfer to NARA 15 years after cutoff	P	11A045	N1-269-96-003	Management Improvement Reports. Documents created in reporting management improvement goals, progress reports, and accomplishments for GSA internal and Governmentwide programs. Included are written statements from agency managers assessing their systems of control, semiannual improved manpower reports, and GSA's annual report to the President and Congress concerning its systems of control.	Cut off at the end of the fiscal year, hold 2 years, and retire to FRC. Destroy when 5 years old
						11A045a	N1-269-96-003	Management Improvement Reports. Documents created in reporting management improvement goals, progress reports, and accomplishments for GSA internal and Governmentwide programs. Included are written statements from agency managers assessing their systems of control, semiannual improved manpower reports, and GSA's annual report to the President and Congress concerning its systems of control. a GSA's annual report	Permanent Cut off at the end of the fiscal year. Transfer to NARA 20 years after cutoff in 5-year blocks

Sub-Bucket	New Series	New Title	New Description	New Disposition	Type	Old GSA Number	Old Disposition Authority	Old Annotated Description	Old Disposition
						12A005a	NC1-269-81-04	Special studies files Documents created in preparing and conducting personnel management studies (at the request of the Administrator, members of the Congress, the Office of Management and Budget, or the Office of Personnel Management) to answer congressional inquiries, carry out training programs, change personnel policies and practices, or measure effectiveness of personnel programs Included are correspondence, questionnaires, workpapers, study reports, and related records a Studies requiring substantive research	Permanent Cut off annually after completion of study Hold 3 years and retire to FRC Offer to NARA when 10 years old in 10 year blocks averaged by year and thereunder by subject 1 cu Ft/10 years
						14A055	NC1-269-89-12	Annual Report to the Congress Documents accumulated in collecting and compiling summary data on GSA activities and achievements for, and in preparation of the Administrator's annual report to the Congress Included are copies of feeder reports or supporting case files, record copies of the published reports, and related records	Temporary Cut off at the end of the fiscal year, destroy 5 years after cutoff (NOTE: Original copy received by NARA for permanent retention comes from the Government Printing Office )
						14A060a	NC1-269-80-12	Report files Documents accumulated in collecting and compiling summary data on the scope of services provided by GSA to State or local governmental entities Included are copies of feeder reports, supporting documents, record copy of the published report and related records a Record copy Record copy of the published report	Permanent Cut off at the end of the fiscal year, hold 3 years and retire to FRC Transfer to NARS 10 years after cutoff in 5-year blocks
						16B040b	NC1-269-84-03	Annual Report to the President Documents resulting from the preparation and publication of the Annual Report to the President They include previous and current reports b Annual Report	Permanent Cut off annually Offer to NARA when 10 years old in 5-year blocks
269 11	021	Routine Internal Program Management Reports	This series includes monthly reports on highlights and progress in program accomplishments and performance, management projects, manpower studies, surveys and evaluations of operations, systems procedures, methods, and staffing for developing, recommending, and implementing improvements Also included are quality management studies, GSA Strategic and Tactical Planning and General Management Reviews (GMR) and related records	Temporary Cut off at the end of the fiscal year after the report is issued Destroy between 1 and 5 years after cutoff	T	11A030a	N1-269-87-004	Management projects Documents accumulated in planning, administering, conducting, and assisting in management, data processing, and manpower studies, surveys, and evaluations (including those performed by contract) of operations, systems procedures, methods, and staffing for developing, recommending, and implementing improvements Included are project requests or authorizations; project plans; study, survey implementation, operational review, and manpower utilization survey reports, clearance actions; and related records a Record copies	Temporary Cut off at end of fiscal year after study completed Transfer to FRC 2 years after cutoff Destroy 5 years after cutoff
						11A036	NC1-137-80-2	Program studies Documents accumulated in conducting, participating in, coordinating, issuing reports of, and implementing recommendations of studies pertaining to any facet of program management or operations	Temporary Cut off at end of fiscal year after completion of the study Destroy 3 years after cutoff
						11A055a	N1-269-96-003	Quality management files Documents created for the implementation of quality management in GSA Included are assessment documents, reports and surveys, Administrator's quality award criteria and quality management newsletter data and related records a Quality management and climate assessment documents	Temporary Cut off at the end of the fiscal year, hold 2 years and retire to the FRC Destroy 5 years after cutoff
						11A055b	N1-269-96-003	Quality management files Documents created for the implementation of quality management in GSA Included are assessment documents, reports and surveys, Administrator's quality award criteria and quality management newsletter data and related records b Other records	Temporary Cut off at the end of the fiscal year Destroy 2 years after cutoff



<i>Sub-Bucket</i>	<i>New Series</i>	<i>New Title</i>	<i>New Description</i>	<i>New Disposition</i>	<i>Type</i>	<i>Old GSA Number</i>	<i>Old Disposition Authority</i>	<i>Old Annotated Description</i>	<i>Old Disposition</i>
						11A060a	N1-269-96-003	GSA Strategic and Tactical Planning and General Management Review (GMR) records Documents created in developing, issuing, and implementing GSA's strategic and tactical plans and coordinating the GMR process a Office responsible for promulgating plans	Temporary Cut off at the end of the fiscal year, destroy 5 years after cutoff
269 11	022	Supplementary Material Records	This series is concerned with all of the feeder reports, correspondence, drafts, and other related documents created in the course of developing either significant reports, studies, directives, issuances, memorandum, decisions and related records	Temporary Cut off at the end of the fiscal year when final record is issued Destroy between 2 and 4 years after cutoff, unless needed for business or reference purposes	T	11A010b	N1-269-87-004	GSA organization files (NN-172-223) Documents created in studying, proposing, reviewing, and assisting in changes in organization, functions, and relationships of services, staff offices, and regional offices Included are organizational proposals, justifications, analyses of present arrangements, proposed arrangements, workloads, staffing patterns, current and proposed organization charts, proposed functional statements, management studies, and related records The files include disapproved proposals, comments on other organization studies, and documents created in maintaining the executive brief, updating the U S Government Manual, and assigning location codes b All other records	Destroy when 1 year old
						11A045b	N1-269-96-003	Management Improvement Reports Documents created in reporting management improvement goals, progress reports, and accomplishments for GSA internal and Governmentwide programs Included are written statements from agency managers assessing their systems of control, semiannual improved manpower reports, and GSA's annual report to the President and Congress concerning its systems of control b Written statements, reports, and other background material used to draft GSA's annual report	Temporary Cut off at the end of the fiscal year, hold 2 years, and retire to the FRC Destroy 5 years after cutoff
						12A005b	NC1-269-81-04	Special studies files Documents created in preparing and conducting personnel management studies (at the request of the Administrator, members of the Congress, the Office of Management and Budget, or the Office of Personnel Management) to answer congressional inquiries, carry out training programs, change personnel policies and practices, or measure effectiveness of personnel programs Included are correspondence, questionnaires, workpapers, study reports, and related records b Routine studies, workpapers, questionnaires, and related records	Destroy when 3 years old
						14A060b	NC1-269-80-12	Report files Documents accumulated in collecting and compiling summary data on the scope of services provided by GSA to State or local governmental entities Included are copies of feeder reports, supporting documents, record copy of the published report and related records b Supporting documents Copies of feeder reports, supporting documents, and related records	Temporary Cut off at the end of the fiscal year, hold 3 years and retire to FRC Destroy when 10 years old

Sub-Bucket	New Series	New Title	New Description	New Disposition	Type	Old GSA Number	Old Disposition Authority	Old Annotated Description	Old Disposition
269 11	030	Strategic Evaluation and Planning	This series is concerned with all documents created in studying, proposing, reviewing, and assisting in changes in organization, function, and relationships of services, staff offices and regional offices. Included are organizational proposals, justifications, analyses of present and proposed arrangements, workloads, staffing patterns, current and proposed organization charts, functional statements, management studies, strategic plans, and related records. The files include disapproved proposals, comments on other organization studies, and records related to the changes to the GSA Organization.	Permanent Cutoff 1 year at the end of the fiscal year when issued, Transfer to NARA 15 years after cutoff	P	11A010a	N1-269-87-004	GSA organization files (NN-172-223) Documents created in studying, proposing, reviewing, and assisting in changes in organization, functions, and relationships of services, staff offices, and regional offices. Included are organizational proposals, justifications, analyses of present arrangements, proposed arrangements, workloads, staffing patterns, current and proposed organization charts, proposed functional statements, management studies, and related records. The files include disapproved proposals, comments on other organization studies, and documents created in maintaining the executive brief, updating the U.S. Government Manual, and related documents.	Permanent Transfer to the National Archives in 5 year blocks when 20 years old
269 11	041	Routine Administrative Records	This series is concerned with records created in the course of day-to-day administrative activities not covered by the General Records Schedule. Included are general correspondence and decision files that do not establish or interpret GSA policy, delegations of authority or assigning duties and responsibilities to individuals outside of directives or issuances, unscheduled records, records related to routine library management, forms management program, management projects and process documentation development records, and related records.	Disposition: Temporary Cut off at the end of the fiscal year Destroy 3 years after cutoff	T	01B001a(2)	NC1-269-80-2	General correspondence and decision files: Administrator and HSSO's Records accumulated by the Office of the Administrator and by Heads of S/SO's under any major subject category, other than office administration, in managing and carrying out the functions assigned to GSA a Office of the Administrator, HSSO's: (2) Documents relating to office administration, requests for information, and other records that do not establish or interpret GSA policy	Temporary Cut off at the end of the fiscal year; destroy 2 years after cutoff, or when no longer needed, whichever is sooner
						01B003	NC1-269-80-2	Delegations/designations of authority and additional duty assignments Correspondence, forms and other documents delegating or assigning duties and responsibilities to individuals Excluded are delegations found in GSA directives	Disposable Destroy when no longer needed
						01B004	NC1-269-80-2	Unscheduled records Documents showing the performance of a specific program function or process, and for which documentation and maintenance and disposition instructions are not provided elsewhere in this handbook	Cut off at the end of the fiscal or calendar year or on completion of the project or action (as appropriate); hold until records are scheduled NOTE: Action to schedule these records must be taken before the next review date of GSA Form 2039, Records Maintenance Plan This form is reviewed at the
						02A081	N1-269-89-001	Reports management general records Documents created in administering the reports management program Included are annual reviews, evaluations, inventories, and related records	Temporary Cut off at the end of the fiscal year; destroy 6 years after cutoff
						02B060	NC1-269-80-003	Accountable forms control Documents showing receipt or issue of blank forms which are subject to special control because they have monetary value, such as transportation requests and bills of lading Included are lists, receipts, registers, and similar control records	Temporary Cut off at end of fiscal year Destroy 2 years after cutoff
						02C080	NC1-269-78-001	Library administration Documents pertaining to library administration not included in other items in this schedule	Temporary Cut off at end of fiscal year Destroy 2 years after cutoff
						02C085	NC1-269-78-001	Shelf listings Documents listing books in the library, normally arranged in order to reflect classification, title, author, and voucher number	Temporary Destroy after items are permanently removed from the library
						02C090	NC1-269-78-001	Library catalog cards Cards showing authors, titles, cross-references, and subjects, arranged in alphabetical order and indicating descriptive details and shelf location of books	Disposable Destroy after associated books are permanently removed from the library
						02C091a	NC1-269-78-001	Bibliographical services: Bibliographies Bibliographies	Disposable Transfer with related collection or destroy when superseded
						02C091b	NC1-269-78-001	Bibliographical services: Supporting documents Other documents associated with providing bibliographical services	Disposable Cut off at end of fiscal year Destroy 2 years after cutoff

<i>Sub-Bucket</i>	<i>New Series</i>	<i>New Title</i>	<i>New Description</i>	<i>New Disposition</i>	<i>Type</i>	<i>Old GSA Number</i>	<i>Old Disposition Authority</i>	<i>Old Annotated Description</i>	<i>Old Disposition</i>
						04B015	NC1-64-77-4	Interagency reports records Documents accumulated in planning, directing and administering the Governmentwide interagency reports program Included are reporting requirements, clearances, report justifications, action notices, and related records	Permanent Place in an inactive file on cancellation or discontinuance of the report Cut off the inactive file at the end of 3 years, hold 3 additional years, then transfer to NARA
						11A015	N1-269-87-004	GSA delegation of authority files Documents accumulated in clearing changes to GSA Delegation of Authority Manual (ADM P 5450 39C) and delegation of authority orders Included are copies of proposed changes, disapproved changes, clearances, and related records	Disposable Cut off following revision, destroy when no longer needed
						11A025a	N1-269-87-004	Productivity management files Documents created in developing procedures for productivity measurements, conducting studies of productivity, and developing productivity reports including the Bureau of Labor Statistics report a Studies files	Cut off after completing study; destroy when 5 years old
						11A025b	N1-269-87-004	Productivity management files Documents created in developing procedures for productivity measurements, conducting studies of productivity, and developing productivity reports including the Bureau of Labor Statistics report b All other files	Cut off after completing study; destroy when 3 years old
						11A030b	N1-269-87-004	Management projects (NN-172-223) Documents accumulated in planning, administering, conducting, and assisting in management, data processing, and manpower studies, surveys, and evaluations (including those performed by contract) of operations, systems, procedures, methods, and staffing for developing, recommending, and assisting in the installation of improvements Included are project requests or authorizations; project plans; study, survey, implementation, operational review and manpower	Cut off annually after completing or cancelling the study, survey, or project, or if the project is not approved Transfer to FRC when 2 years old Destroy when 3 years old
						11A060b	N1-269-96-003	GSA Strategic and Tactical Planning and General Management Review (GMR) records Documents created in developing, issuing, and implementing GSA's strategic and tactical plans and coordinating the GMR process b Clearance office copies of documents created in developing, issuing and implementing GSA's strategic and tactical plans and	Temporary Cut off at the end of the fiscal year, destroy 5 years after cutoff
						15A125	N1-269-87-2	Life cycle costing Information pertaining to GSA's implementation of a Governmentwide LCC program	Disposable Cut off at end of fiscal year; destroy 5 years after cutoff

## **269.1 Agency Management Records**

These records are created, referenced and maintained by many offices within GSA to supplement routine records found in the General Records Schedule. They include program management records (such as Committees, Legislative Review, and Audit Review) as well as detailed functional records common to all agency offices (Communications, Internal Personal Property, Security, and Employee-related).

### **269.11 Program Management Records**

This group of records is concerned with the routine program records that are not listed in the General Records Schedule or have a disposition different from that of the GRS. This schedule supersedes all previous GSA-scheduled records where it does not conflict with the General Records Schedule.

#### *269.11/010 – Decisions, Issuances, and Directives*

This series covers decision papers, interpretation of laws and directives, and issuances issued by Heads of Staff and Services Offices and the Administrator's Office, and security directives issued under the Information Security Oversight Orders (ISOO).

*Disposition:* Permanent. Cut off at the end of the fiscal year when issued. Transfer to NARA 15 years after cutoff.

#### *269.11/011- Internal Project Case Files, and Administrator Reports*

This series includes special projects from the Administrator's office, unapproved directive case files, programming reports, deficiency reports and related records. Also included are special review, initiative project case files, and related records.

*Disposition:* Temporary. Cut off at the end of the fiscal year when the report is issued, project completed, and when deficiencies are corrected. Destroy 5 years after cutoff. For unapproved directive case files, cut off when initially drafted and destroy 20 years after cutoff or when signed, whichever comes first.

#### *269.11/020 – Annual Significant Reports and Studies*

This series includes documents created in reporting on management improvement goals, progress reports, and accomplishments for GSA internal and external Governmentwide programs. Also included in this series are special studies conducted at the request of the Congress, the Office of Management and Budget (OMB), or the Office of Personnel Management (OPM), and the GSA Annual Report issued by the Administrator's Office and related records.



*Disposition:* Permanent. Cut off at the end of the fiscal year that the report has been issued. Transfer to NARA 15 years after cutoff.

*269.11/021 – Routine Internal Program Management Reports*

This series includes monthly reports on highlights and progress in program accomplishments and performance, management projects, manpower studies, surveys and evaluations of operations, systems procedures, methods, and staffing for developing, recommending, and implementing improvements. Also included are quality management studies, GSA Strategic and Tactical Planning and General Management Reviews (GMR) and related records.

*Disposition:* Temporary. Cut off at the end of the fiscal year after the report is issued. Destroy 3 years after cutoff. Longer retention is authorized, but no more than 5 years after cutoff.

*269.11/022 – Supplementary Material Records*

This series is concerned with all of the feeder reports, correspondence, drafts, and other related documents created in the course of developing either significant reports, studies, directives, issuances, memorandum, decisions and related records.

*Disposition:* Temporary. Cut off at the end of the fiscal year when final record is issued. Destroy 3 years after cutoff, unless needed for business or reference purposes, but no more than 5 years after cutoff.

*269.11/030 – Strategic Evaluation and Planning Records*

This series is concerned with all documents created in studying, proposing, reviewing, and assisting in changes in organization, function, and relationships of services, staff offices and regional offices. Included are organizational proposals, justifications, analyses of present and proposed arrangements, workloads, staffing patterns, current and proposed organization charts, functional statements, management studies, strategic plans, and related records. The files include disapproved proposals, comments on other organization studies, and records related to the changes to the GSA Organization.

*Disposition:* Permanent. Cutoff 1 year at the end of the fiscal year when issued, Transfer to NARA 15 years after cutoff.

*269.11/041 – Routine Program Management Records*

This series is concerned with records created in the course of day-to-day administrative activities not covered by the General Records Schedule. Included

are general correspondence and decision files that do not establish or interpret GSA policy, delegations of authority or assigning duties and responsibilities to individuals outside of directives or issuances, unscheduled records, records related to routine library management, forms management program, management projects and process documentation development records, and related records.

*Disposition:* Temporary. Cut off at the end of the fiscal year. Destroy 3 years after cutoff.

**Bucket 269.12 - Communications Records**

This group of records is concerned with the Communications Program Records not covered by the General Records Schedules. These program records deal with the record copies of prepared communications; internal and public, events such as conferences and symposiums, and routine communications program management files. This group does not include training records of individual employees, routine email records, nor other informal means of communications used by all agency staff.

<i>Bucket</i>	<i>New Series</i>	<i>New Title</i>	<i>New Description</i>	<i>New Disposition</i>	<i>Type</i>	<i>Old GSA Number</i>	<i>Old Disposition Authority</i>	<i>Old Annotated Description</i>	<i>Old Disposition</i>
269.12	010	Significant Prepared Communications Records	This series is concerned with speeches and communications by Heads of Staff and Services Offices as well as the Administrator's office, biographies of Administrator, Regional Administrators, HSSOs and Commissioners, record copies of press releases and news articles issued from GSA Central and Regional Offices, and record copies of newsletters, either targeted at all of GSA, regional or business line personnel, or GSA clients and related records. This series of records is media-neutral, which means that these items can be in any format (e.g., audio, video, web blog, text, etc.).	Permanent. Cut off at the end of the fiscal year when issued. Transfer to NARA 15 years after cutoff.	P	14A010a(1)	NC1-269-80-12	Speeches. Documents created in the process of reviewing and clearing speeches and related documents. a. Speeches delivered by the Administrator, Deputy Administrator, Associate Administrators, and Commissioners. (1) Record set of speeches delivered by the Administrator, Deputy Administrator, Associate Administrators, Regional Administrators, and Commissioners.	Permanent. Cut off at the end of the fiscal year, hold 3 years and retire to FRC. Transfer to NARS 10 years after cutoff in 5-year blocks.
						14A001a(1)	NC1-269-80-12	News releases. Documents created by the releasing offices in coordinating and disseminating information to any public communications media, whether in written or verbal form. Included are drafts, clearance actions, copies of the formal news releases, and related records. a. Central Office record copies and publications. (1) Central Office record copies.	Permanent. Cut off at the end of the fiscal year, hold 3 years and retire to FRC. Transfer to NARS 10 years after cutoff in 5-year blocks.
						14A001b(1)	NC1-269-80-12	News releases. Documents created by the releasing offices in coordinating and disseminating information to any public communications media, whether in written or verbal form. Included are drafts, clearance actions, copies of the formal news releases, and related records. b. Regional publications. (1) News releases. Final copy.	Temporary. Cut off at the end of the fiscal year; destroy 4 years after cutoff.
						14A050a	NC1-269-89-12	Employee news. Documents created to keep GSA employees currently informed of major accomplishments, changes, programs, plans, or information on personnel which may be of interest or value to the employees. Included are newspapers, newsletters, or similar periodicals; papers used to submit articles or information for inclusion in the news, and related records. a. Original, record copy. Original record copies of the GSA News and the GSA regional employee news publications.	Permanent. Cut off at the end of the fiscal year, hold 2 years, and retire to the FRC. Transfer to NARA 10 years after cutoff in 5-year blocks.
						14A065d	NI-269-95-1	Motion pictures and video recordings: d. Official record set of productions that document GSAs history, mission, or programs. Official record set of productions that document GSAs history, mission, or programs; topics of controversial or historical interest; public affairs or news interviews with GSA officials and staff; and other productions created to disseminate agency information regard GSA operations.	Permanent. Transfer directly to the National Archives on an annual basis or when no longer needed.
						14A025a	NC1-269-80-12	Biographies. a. Record set. Record set at Central Office of biographical sketches, photographs, and related documents concerning leading personalities in GSA or non-GSA personalities of possible significance to GSA.	Permanent. Cut off at end of fiscal year. Hold 2 years and retire to FRC. Transfer to NARS 10 years after cutoff in 5-year blocks.
269.12	011	Other Prepared Communications Records	These are records created by persons other than the Administrator's Office, Regional Administrators, Heads of Staff and Services Offices and Commissioners. Included are record copies of the prepared speeches, interviews, biographies, press releases, and related records.	Temporary. Cut off at the end of the fiscal year when issued. Destroy 6 years after cutoff, unless needed for business or reference purposes.	T	14A010b	NC1-269-80-12	Speeches. Documents created in the process of reviewing and clearing speeches and related documents. b. Speeches by persons other than the Administrator, Deputy Administrator, Associate Administrators, and Commissioners. Documents created in the process of reviewing and clearing speeches, and related materials.	Temporary. Cut off at end of fiscal year. Destroy 4 years after cutoff.
269.12	021	Events Records	This series concerns award ceremonies, dedications, GSA-sponsored symposia and conference records. Included are invitations, guest lists and rosters, agendas, documents related to presentations, copies of speeches, administrative arrangements for the event, and related records.	Temporary. Cut off at the end of the fiscal year when final payment is made. Destroy 6 years after cutoff unless needed for business or reference purposes.	T	12D005	NC1-269-81-4	Award ceremonies. Documents created in arranging and publicizing ceremonies for the presentation of awards. Included are posters, placards, and related records.	Disposable. Cut off at the end of the fiscal year; destroy 3 years after cutoff.

<i>Bucket</i>	<i>New Series</i>	<i>New Title</i>	<i>New Description</i>	<i>New Disposition</i>	<i>Type</i>	<i>Old GSA Number</i>	<i>Old Disposition Authority</i>	<i>Old Annotated Description</i>	<i>Old Disposition</i>
						14A020	NC1-269-80-12	Dedications Documents accumulated through participation in dedication ceremonies conducted by GSA and other agencies Included are invitations extended to officials, papers relating to routine arrangements, copies of speeches, and related records	Temporary Cut off at end of fiscal year; destroy 4 years after cutoff
						14A030	NC1-64-77-4	Symposium and Conference Records Documents accumulated in planning, arranging, and holding symposiums and conferences Included are announcements, agenda, minutes, listing of speakers and guests and related records	Disposable Cut off after symposium, hold 2 years and destroy
269 12	031	Communications Program Management Records	This series concerns records created in the course of developing communications and managing graphics, letterhead, and related activities Included in this series are letterhead case files, drafts, clearance review copies, supporting materials used in the creation of prepared communications, correspondence, and related records	Temporary Cut off at the end of the fiscal year when final record is issued Destroy 3 years after cutoff unless needed for business or reference purposes	T	14A001a(2)	NC1-269-80-12	News releases Documents created by the releasing offices in coordinating and disseminating information to any public communications media, whether in written or verbal form Included are drafts, clearance actions, copies of the formal news releases, and related records a Central Office record copies and publications (2) CO publications; drafts and clearance copies Drafts, clearance actions, copies of the formal news releases, and related records	Disposable Cut off at the end of the fiscal year; destroy 3 years after cutoff
						14A001b(2)	NC1-269-80-12	News releases Documents created by the releasing offices in coordinating and disseminating information to any public communications media, whether in written or verbal form Included are drafts, clearance actions, copies of the formal news releases, and related records b Regional publications (2) News releases; Drafts and clearance copies	Disposable Cut off at the end of the fiscal year; destroy 2 years after cutoff
						14A010a(2)	N1-269-89-001	Speeches Documents created in the process of reviewing and clearing speeches and related documents a Speeches delivered by the Administrator, Deputy Administrator, Associate Administrators, and Commisioners (2) Supporting documentation Documents, other than the final record set of the speech, created in the process of reviewing and clearing speeches	Disposable Cut off at end of fiscal year; destroy 3 years after cutoff
						02A083	NC1-269-80-003	Correspondence letterhead case files Case files created in authorizing and maintaining GSA letterheads Included are justifications for authorizing and establishing new letterheads, a brief record of reprints, and related camera copies	Temporary Place in inactive file after request is denied or letterhead is discontinued Cut off inactive file at the end of the fiscal year; destroy 2 years after cutoff
						02B066a	NC1-269-80-003	Presidential photograph records Documents accumulated in the distribution (total number copies issued to each major recipient) of official photographs of the Presidents of the United States Included are correspondence, distribution lists and changes, and related records a Central Office	Disposable Cut off at end of fiscal year after swearing in of succeeding president Destroy 1 year after cutoff
						02B066b	N1-269-89-001	Presidential photograph records Documents accumulated in the distribution (total number copies issued to each major recipient) of official photographs of the Presidents of the United States Included are correspondence, distribution lists and changes, and related records b Regional offices	Disposable Cut off at end of fiscal year after swearing in of succeeding president Destroy 2 years after cutoff
						11E010	NC1-269-80-12	Correspondence letterhead case files Case files created in authoring and maintaining GSA letterheads Included are justifications for authorizing and establishing new letterheads, a brief record of reprints, and related camera copies	Place in inactive file after request is denied or letterhead is discontinued Hold 2 years and destroy
						14A025b	NC1-269-89-12	Biographies b Copies and supporting documentation Copies other than CO record set of biographical sketches, photographs, and related documents concerning leading personalities in GSA or non-GSA personalities of possible significance to GSA	Disposable Destroy when purpose has been served, the individual leaves GSA, or when no longer needed, whichever is appropriate

## **269.12 - Communications Records**

This group of records is concerned with the Communications Program Records not covered by the General Records Schedules. These program records deal with the record copies of prepared communications; internal and public, events such as conferences and symposiums, and routine communications program management files. This group does not include training records of individual employees, routine email records, nor other informal means of communications used by all agency staff.

### *269.12/010 – Significant Prepared Communications Records*

This series is concerned with speeches and communications by Heads of Staff and Services Offices as well as the Administrator's office, biographies of Administrator, Regional Administrators, HSSOs and Commissioners, record copies of press releases and news articles issued from GSA Central and Regional Offices, and record copies of newsletters, either targeted at all of GSA, regional or business line personnel, or GSA clients and related records. This series of records is media-neutral, which means that these items can be in any format (e.g. audio, video, web blog, text, etc.).

*Disposition:* Permanent. Cut off at the end of the fiscal year when issued. Transfer to NARA 15 years after cutoff.

### *269.12/011 – Other Prepared Communications Records*

These are records created by persons other than the Administrator's Office, Regional Administrators, Heads of Staff and Services Offices and Commissioners. Included are record copies of the prepared speeches, interviews, biographies, press releases, and related records.

*Disposition:* Temporary. Cut off at the end of the fiscal year when issued. Destroy 6 years after cutoff.

### *269.12/021 – Events Records*

This series concerns award ceremonies, dedications, GSA-sponsored symposia and conference records. Included are invitations, guest lists and rosters, agendas, documents related to presentations, copies of speeches, administrative arrangements for the event, and related records.

*Disposition:* Temporary. Cut off at the end of the fiscal year when final payment is made. Destroy 6 years after cutoff unless needed for business or reference purposes.

### *269.12/031 – Communications Program Management Records*

This series concerns records created in the course of developing communications and managing graphics, letterhead, and related activities. Included in this series are letterhead case files, drafts, clearance review copies, supporting materials used in the creation of prepared communications, correspondence, and related records.

*Disposition:* Temporary. Cut off at the end of the fiscal year when final record is issued. Destroy 3 years after cutoff unless needed for business or reference purposes.

## **269.13 - Legislative and Congressional Affairs Records**

This group of records is concerned with the records that are derived from the role GSA plays as an advisor to the Administrator and as the GSA Liaison with Members of Congress and congressional committees. Additionally, records are created and maintained from the program's role of assuring compliance with terms of Senate and House Memoranda of Understanding, and supporting office space, procurement, communications, relocation, and asset management services to members of Congress and the Senate. This group of records is also concerned with supporting GSA's legislative program, tracking legislation, interacting with Members, committees, and staff, and handling congressional or senate inquiries on issues relating to GSA. The records in this schedule supersede all GSA records previously scheduled on this topic.

### *269.13/010 – Legislation Case Files*

This series is concerned with the documents created when reviewing, formulating, and presenting proposed legislation of GSA or the GSA position on legislative programs of other Federal agencies. Also, this series includes legislative program reviews and reports associated with the agency program itself. Included are drafts of bills, clearance actions, reports, testimonies of GSA officials, general information on or status of, the legislative program, and related records.

*Disposition:* Permanent. Cut off at the end of the fiscal year when the case is closed. Transfer to NARA 15 years after cutoff.

### *269.13/011 – Legislative and Congressional Affairs Program Management Records*

This series is concerned with records accumulated when providing legal assistance on proposed and enacted legislation, regulations for publication in Federal Register and Code of Federal Regulations, and change and additions in regulations issued by GSA. Also included in this series are supporting materials for putting together said report or assistance, clearance copies, and related records

*Disposition:* Temporary. Cut off at the end of the fiscal year when the case is closed, review completed, or recommendations made. Destroy 8 years after cutoff.

### *269.13/020 – Legislative Program Reports*

Documents created in preparing and disseminating information reflecting content and status of the GSA legislative program, including reports of general information on, or status of, the legislative program and related records.



*Disposition:* Permanent. Cut off at the end of the fiscal year when the report is issued. Transfer to NARA 15 years after cutoff.

*269.13/031 – Congressional Property Records*

Documents accumulated in controlling congressional property in the possession of and purchased for a Member of Congress. Included are those documents reflecting additions to, changes in, and status of the individual member's personal property account. Source documents may include GSA Forms 300, Purchase Order; GSA Forms 526, Report of Property for Survey; Standard Forms 120, Report of Excess Personal Property; and SF 122, Transfer Order Excess Personal Property. The file may also include registers of source documents; master files or purchase orders; reports of property for survey or related records and correspondence.

*Disposition:* Temporary. Cut off at end of fiscal year after member closes office and completion of all transactions. Destroy 6 years after cutoff.

**Bucket 269.13 - Legislative and Congressional Affairs Records**

This group of records is concerned with the records that are derived from the role GSA plays as an advisor to the Administrator and as the GSA Liaison with Members of Congress and congressional committees. Additionally, records are created and maintained from the program's role of assuring compliance with terms of Senate and House Memoranda of Understanding, and supporting office space, procurement, communications, relocation, and asset management services to members of Congress and the Senate. This group of records is also concerned with supporting GSA's legislative program, tracking legislation, interacting with Members, committees, and staff, and handling congressional or senate inquiries on issues relating to GSA. The records in this schedule supersede all GSA records previously scheduled on this topic.

<i>Bucket</i>	<i>New Series</i>	<i>New Title</i>	<i>New Description</i>	<i>New Disposition</i>	<i>Type</i>	<i>Old GSA Number</i>	<i>Old Disposition Authority</i>	<i>Old Annotated Description</i>	<i>Old Disposition</i>
269 13	10	Legislation Case Files	This series is concerned with the documents created when reviewing, formulating, and presenting proposed legislation of GSA or the GSA position on legislative programs of other Federal agencies. Also, this series includes legislative program reviews and reports associated with the agency program itself. Included are drafts of bills, clearance actions, reports, testimonies of GSA officials, general information on or status of, the legislative program, and related records.	Permanent. Cut off at the end of the fiscal year when the case is closed. Transfer to NARA 15 years after cutoff.	P	10B005a	NI-269-96-001	Legislative cases. Case files created in formulating, developing, and presenting proposed legislation of GSA. Included are drafts of bills, clearance actions, reports, testimonies of GSA officials at hearings, and related records. a. Office of Congressional Affairs case files.	Permanent. Cut off at the end of the fiscal year; hold 4 years and retire to FRC. Transfer to NARA 15 years after cutoff.
269 13	11	Legislative and Congressional Affairs Program Management Records	This series is concerned with documents accumulated when providing legal assistance on proposed and enacted legislations, regulations for publication in Federal Register and Code of Federal Regulations, and change and additions in regulations issued by GSA. Also included in this series are supporting materials for putting together said report or assistance, clearance copies, and related records.	Temporary. Cut off at the end of the fiscal year when the case is closed, review completed, or recommendations made. Destroy 8 years after cutoff.	T	10B001	NC1-269-79-01	Legislation and regulations review. Documents accumulated in providing legal assistance on proposed and enacted legislation; regulations for publication in the Federal Register and Code of Federal Regulations; and changes and additions to regulations issued by GSA.	Temporary. Cut off at end of fiscal year; hold 3 years, and retire to FRC. Destroy 6 years after cutoff.
						10B005b	NI-269-96-001	Legislative cases. Case files created in formulating, developing, and presenting proposed legislation of GSA. Included are drafts of bills, clearance actions, reports, testimonies of GSA officials at hearings, and related records. b. Clearance Office records.	Temporary. Cut off at end of the fiscal year, hold 4 years, and retire to FRC. Destroy 8 years after cutoff.
						10B010b	NN-172-223	Non-GSA legislation records. Documents created in coordinating and reporting the GSA position on legislative programs of other Federal agencies. Included are reports, congressional bills, clearance actions, and related records. b. Other offices.	Temporary. Cut off at end of fiscal year, hold 4 years, and retire to FRC. Destroy 8 years after cutoff.
269 13	20	Legislative and Congressional Affairs Program Reports	Documents created in preparing and disseminating information reflecting content and status of the GSA legislative program, including reports of general information on, or status of, the legislative program and related records.	Permanent. Cut off at the end of the fiscal year when the report is issued. Transfer to NARA 15 years after cutoff.	P	10B010a	NN-172-223	Non-GSA legislation records. Documents created in coordinating and reporting the GSA position on legislative programs of other Federal agencies. Included are reports, congressional bills, clearance actions, and related records. a. Office of Congressional Affairs.	Permanent. Cut off at end of session of Congress, hold 4 years, and retire to FRC. Transfer to NARA 15 years after cutoff, in 4-year blocks.
						10B015	NN-172-223	Annual legislation program records. Documents created in preparing and disseminating information reflecting content and status of the GSA legislative program, including reports of general information on, or status of, the legislative program and related records.	Permanent. Cut off at end of fiscal year, hold 4 years, and retire to FRC. Transfer to NARA 15 years after cutoff, in 4-year blocks.
269 13	31	Congressional Property Records	Documents accumulated in controlling congressional property in the possession of and purchased for a Member of Congress. Included are those documents reflecting additions to, changes in, and status of the individual member's personal property account. Source documents may include GSA Forms 300, Purchase Order; GSA Forms 526, Report of Property for Survey; Standard Forms 120, Report of Excess Personal Property; and SF 122, Transfer Order Excess Personal Property. The file may also include registers of source documents; master files or purchase orders; reports of property for survey or related records and correspondence.	Temporary. Cut off at end of fiscal year after member closes office and completion of all transactions. Destroy 6 years after cutoff.	T	02C010	NC1-269-80-007	Congressional property records. Documents accumulated in controlling congressional property in the possession of and purchased for a Member of Congress. Included are those documents reflecting additions to, changes in, and status of the individual Member's personal property account. Source documents may include GSA Forms 300, Purchase Order; GSA Forms 526, Report of Property for Survey; Standard Forms 120, Report of Excess Personal Property; and SF 122, Transfer Order Excess Personal Property. The file may also include registers of source documents; master files or purchase orders; FEDSTRIP requisitions; reports of property for survey.	Temporary. Cut off at end of fiscal year after member closes office and completion of all transactions; destroy 1 year after cutoff.

### 269.13 - Legislative and Congressional Affairs Records

This group of records is concerned with the records that are derived from the role GSA plays as an advisor to the Administrator and as the GSA Liaison with Members of Congress and congressional committees. Additionally, records are created and maintained from the program's role of assuring compliance with terms of Senate and House Memoranda of Understanding, and supporting office space, procurement, communications, relocation, and asset management services to members of Congress and the Senate. This group of records is also concerned with supporting GSA's legislative program, tracking legislation, interacting with Members, committees, and staff, and handling congressional or senate inquiries on issues relating to GSA. The records in this schedule supersede all GSA records previously scheduled on this topic.

<i>New Series</i>	<i>New Title</i>	<i>New Description</i>	<i>New Retention</i>
269.13/010	Legislation Case Files	This series is concerned with the documents created when reviewing, formulating, and presenting proposed legislation of GSA or the GSA position on legislative programs of other Federal agencies. Also, this series includes legislative program reviews and reports associated with the agency program itself. Included are drafts of bills, clearance actions, reports, testimonies of GSA officials, general information on or status of, the legislative program, and related records.	Disposition: Permanent. Cut off at the end of the fiscal year when the case is closed. Transfer to NARA 15 years after cutoff.
269.13/011	Legislative and Congressional Affairs Program Management Records	This series is concerned with records accumulated when providing legal assistance on proposed and enacted legislation, regulations for publication in Federal Register and Code of Federal Regulations, and change and additions in regulations issued by GSA. Also included in this series are supporting materials for putting together said report or assistance, clearance copies, and related records	Disposition: Temporary. Cut off at the end of the fiscal year when the case is closed, review completed, or recommendations made. Destroy 8 years after cutoff.
269.13/020	Legislative Program Reports	Documents created in preparing and disseminating information reflecting content and status of the GSA legislative program, including reports of general information on, or status of, the legislative program and related records.	Permanent. Cut off at the end of the fiscal year when the report is issued. Transfer to NARA 15 years after cutoff.
269.13/031	Congressional Property Records	Documents accumulated in controlling congressional property in the possession of and purchased for a Member of Congress. Included are those documents reflecting additions to, changes in, and status of the individual member's personal property account. Source documents may include GSA Forms 300, Purchase Order; GSA Forms 526, Report of Property for Survey; Standard Forms 120, Report of Excess Personal Property; and SF 122, Transfer Order Excess Personal Property. The file may also include registers of source documents; master files or purchase orders; reports of property for survey or related records and correspondence.	Temporary. Cut off at end of fiscal year after member closes office and completion of all transactions. Destroy 6 years after cutoff.

**269.15 Customer/Business Development Records**

The records in this group concern the fulfillment of GSA's mission of "delivering excellent customer service." Activities under this group include identifying and developing new customers, sustaining and growing current customer use of GSA's services, and being responsive to customer concerns regarding GSA's services. "Customers" include internal customers (GSA making use of its own services), external customers (client federal, state, and municipal agencies using GSA's services), and citizens making use of GSA's variety of services. For business development, this includes records relating to both customer and vendor development to assure compliance with the Small Business Act and other federal mandates. The records in this group supersede all previously-scheduled GSA record types and complement the General Record Schedule supported for all federal agencies.

<i>Bucket</i>	<i>Series</i>	<i>Title</i>	<i>Description</i>	<i>Disposition Instructions</i>	<i>Type Disposition</i>	<i>Old GSA Number</i>	<i>Old Disposition Authority</i>	<i>Old Description</i>	<i>Disposition</i>
269.15	11	Customer/Business Development Program Report Records	This series is focused on the reports of customer transactions: customer contacts, correspondence, satisfaction survey compilations, focus groups, and activities focused on developing new or retaining current customers.	Temporary. Cut off at the end of the fiscal year when published. Destroy 3 years after cutoff.	T	14B060	NC1-137-78-2	Business service center activity report. GSA Form 1919, Business Service Center Activity Report, with related information.	Disposable. Destroy when no longer needed.
269.15	21	Customer/Business Development Program Case File Records	This series concerns records created with regard to handling customer and vendor concerns, transaction issues, or specific situations requiring intervention or reconciliation. Included are copies of materials collected that address the issue, correspondence, reports on resolution of the situation, and related materials.	Temporary. Cut off at the end of the fiscal year. Destroy 3 years after cutoff.	T	14B005	NC1-269-80-12	Business counseling and assistance. Case files created in providing counseling, assistance, and follow-up to encompass the interest and problems of business concerns, including small businesses, and to obtain and maintain the greatest possible interest and participation in GSA procurement and disposal programs.	Disposable. Cut off at the end of the fiscal year; destroy 1 year after cutoff.
						14B075a	NC1-121-82-1	Business services records. Documents accumulated in advising and assisting individuals and commercial concerns interested in doing business with the Government, displaying and distributing bidding documents, and in reporting information on contacts with such individuals and concerns. Included are copies of bidding materials, reports of contacts, correspondence, and related records. a. Copies of bidding materials and related records.	Disposable. Destroy after deadline before bidding expires.
						14B075b	NC1-121-82-1	Business services records. Documents accumulated in advising and assisting individuals and commercial concerns interested in doing business with the Government, displaying and distributing bidding documents, and in reporting information on contacts with such individuals and concerns. Included are copies of bidding materials, reports of contacts, correspondence, and related records. b. Reports of contacts, correspondence, and related records.	Disposable. Cut off at end of fiscal year; destroy 1 year later.
269.15	31	Customer/Business Development Administration and Product Records	This series concerns program planning and routine records collected in the course of creating and implementing a customer relations or customer development initiative. Included are contact logs and or reports of customer meetings and visits, forums, workshops, planning documents associated with identifying new customer leads and analysis of current services with regard to customer responsiveness, recommendations for future development, and related correspondence and records. Also included are business files created in response to policy and programs associated with qualifying vendors and contractors and marketing available opportunities.	Temporary. Cut off at the end of the fiscal year. Destroy 3 years after cutoff.	T	14B010	NC1-269-80-12	Handout materials. Documents created in preparing, clearing, and publishing handout material which provide information and assistance to business concerns interested in participating in procurement and disposal programs. Included are clearance actions; copies of the booklets, brochures, pamphlets, and handouts; and related records.	Disposable. Cut off at the end of the fiscal year following supersession or discontinuance; destroy 2 years after cutoff.
						14B015	NC1-269-80-12	Commerce Business Daily. Documents created in reporting information regarding proposed procurement and disposal transactions to the Commerce Business Daily. Included are memorandums and related records.	Temporary. Cut off at the end of the fiscal year; destroy 2 years after cutoff.
						14B025	NC1-269-80-12	Business and supplier promotional records. Documents created in arranging and participating in conferences, meetings, or clinics with business concerns, trade associations, chambers of commerce, or other groups to promote and provide information on procurement and disposal programs. Included are agenda or plans for the meetings, presentation outlines, reports or minutes of the meetings, and related records.	Disposable. Cut off at the end of the fiscal year; destroy 3 years after cutoff.
						14B035	NC1-137-78-2	General customer services and marketing records. General program material on customer services and marketing subjects.	Disposable. Cut off at end of fiscal year. Destroy 3 years after cutoff.
						14B040	NC1-137-78-2	Agreement records. Documents related to developing, negotiating, and evaluating agreements for customer service and marketing support. Included are coordinating actions, copies of agreements, and related records.	Temporary. Cut off at end of fiscal year when superseded or canceled. Retire to FRC 3 years after cutoff; destroy 5 years after cutoff.
						14B050	NC1-137-78-02	CSR overseas and domestic program files. Documents accumulated in monitoring, supervising, and coordinating overseas and domestic CSR activities. Included are correspondence relating to customer support problems and actions taken to effect resolutions; correspondence relating to new innovations and changes in inventory management concepts; requests for administrative assistance; and related records.	Cut off annually, hold 3 years, and destroy.
						14B055	NC1-137-78-2	Customer marketing project records. Documents accumulated in planning and developing customer-oriented programs to promote awareness of Federal Supply Service supply programs and services. Projects may include: (1) review and preparation of publications and informational packets and identification of items and services that need to be marketed. Records may include correspondence, reports, publications, illustrations, and related material as well as project officers' notes, drafts, artwork, comprehensive, illustrations and backup research added to the record at the end of the project.	Disposable. Cut off at end of fiscal year. Destroy 2 years after cutoff.
						14B065	NC1-269-80-12	Small business records. Documents relating to policy and programs for small business, including goals statements and guidelines. These records are created under section 211 of Public Law 95-507 relating to subcontracting to small business. Included are GSA Form 2689, Procurement Not Set Aside, goal statements, guidelines and reports, and related records.	Temporary. Cut off at end of fiscal year. Destroy 3 years after cutoff.
						14B070	NC1-269-80-12	Socioeconomic disadvantaged business files. Documents relating to socioeconomic disadvantaged business (minority) programs and reports issued under the Small Business Act, section 8a, including goal statements and guidelines. Included are goal statements, guidelines, and related records.	Temporary. Cut off at end of fiscal year. Destroy 3 years after cutoff.

## **269.15      Customer/Business Development Records**

The records in this group concern the fulfillment of GSA's mission of "delivering excellent customer service." Activities under this group include identifying and developing new customers, sustaining and growing current customer use of GSA's services, and being responsive to customer concerns regarding GSA's services. "Customers" include internal customers (GSA making use of its own services), external customers (client federal, state, and municipal agencies using GSA's services), and citizens making use of GSA's variety of services. For business development, this includes records relating to both customer and vendor development to assure compliance with the Small Business Act and other federal mandates. The records in this group supersede all previously-scheduled GSA record types and complement the General Record Schedule supported for all federal agencies.

### *269.15/011 – Customer/Business Development Program Report Records*

This series is focused on the reports of customer transactions: customer contacts, correspondence, satisfaction survey compilations, focus groups, and activities focused on developing new or retaining current customers.

Temporary. Cut off at the end of the fiscal year when published. Destroy 3 years after cutoff.

### *269.15/021 – Customer/Business Development Program Case File Records*

This series concerns records created with regard to handling customer concerns, transaction issues, or specific situations requiring intervention or reconciliation. Included are copies of materials collected that address the issue, correspondence, reports on resolution of the situation, and related materials.

Temporary. Cut off at the end of the fiscal year. Destroy 3 years after cutoff.

### *269.15/031 – Customer/Business Development Administration and Product Records*

This series concerns program planning and routine records collected in the course of creating and implementing a customer relations or customer development initiative. Included are contact logs and or reports of customer meetings and visits, forums, workshops, planning documents associated with identifying new customer leads and analysis of current services with regard to customer responsiveness, recommendations for future development, and related correspondence and records. Also included are business files created in response to policy and programs associated with qualifying vendors and contractors and marketing available opportunities.

Temporary. Cut off at the end of the fiscal year. Destroy 3 years after cutoff.



**Bucket 269.15 Audit Resolution Program Records**

The group of records is accumulated while controlling and monitoring the resolution and implementation of General Accounting Office (GAO) and other external agency audit reports, Office of the Inspector General (OIG) internal audit and contract audit reports, and related records The GSA audit resolution follow-up system is covered in GSA HB, Audit Resolution and Follow-up System (ADM P 2030 2D) This group of records does not apply to documents accumulated in examining or auditing internal and contractor operations or by offices whose programs were audited

<i>Bucket</i>	<i>New Series</i>	<i>New Title</i>	<i>New Description</i>	<i>New Disposition</i>	<i>Type</i>	<i>Old GSA Number</i>	<i>Old Disposition Authority</i>	<i>Old Annotated Description</i>	<i>Old Disposition</i>
269 15	010	Semianual Management Reports to the Congress	This series is comprised of regular reports made to external agencies (such as the Congress, etc) This report describes, for that specific reporting period, (1) the implementation of the recommendations by GSA Management contained in audit reports issued by the Office of the Inspector General (OIG), and (2) a report of cases where final action has not been taken on an audit one year after the date of the management decision	Permanent Cut off at the end of the fiscal year after the report is issued Transfer to NARA 15 years after cutoff	P	03B010a	NC1-269-87-3	GAO audit reports Documents created or accumulated in the resolution and implementation of GAO audit recommendations Included are documents from resolving and implementing recommendations, responses from the Administrator of GSA to the Comptroller General, the Congress, and the Office of Management and Budget concerning recommendations a Files maintained by the Audit Resolution Management Controls Division	Temporary Cut off at the end of the fiscal year when all resolution and followup actions have been completed Hold 1 year and retire to FRC Destroy 5 years after cutoff
						03B010b	NC1-269-87-3	GAO audit reports Documents created or accumulated in the resolution and implementation of GAO audit recommendations Included are documents from resolving and implementing recommendations, responses from the Administrator of GSA to the Comptroller General, the Congress, and the Office of Management and Budget concerning recommendations b Files maintained by Central Office service and staff office management support offices and regional offices	Temporary Cut off at the end of the fiscal year when all resolution and followup actions have been completed Destroy 2 years after cutoff
269 15	011	Semianual Management Report to the Congress Records Transfer Reports	This record describes the transfer of specific reports described in 269 15/010 to NARA This destruction report identifies by fiscal year, which report has been certified as "transferred to NARA" for business reference and recordkeeping	Temporary Cut off at the end of the fiscal year after the report has been issued and replaced by succeeding annual reports Destroy 15 years after cutoff	T			<i>New Record Type.</i>	
269 15	021	Audit Resolution Case Files	This series contains records accumulated for reference and referral to GAO audits and OIG Contract and Internal audits, clearances, and all related audit information Included are copies of Draft and Final Audit Reports, implementation status, and all related records included in the notification, development, working, implementation, and resolution of the audit lifecycle These case files are arranged often in chronological order	Temporary Cut off at the end of the fiscal year when the audit resolution process has been completed Destroy 10 years after cutoff	T	03B001a	NC1-269-87-3	Contract audit resolution case files Documents created or accumulated in the resolution and implementation of contract audit recommendations Included are audit reports, master control records pre-negotiation and/or price negotiation memoranda, award documents, settlement agreements, contracting officer's final decision letters, and related documents Included are communications with the contracting officers, finance centers, Office of Inspector General, Office of General Counsel, the Audit Follow-up Official, and related records a Audit Resolution Management Controls Division copies	Temporary Cut off at the end of the fiscal year when followup actions are complete Hold 1 year and retire to FRC Destroy 5 years after cutoff
						03B001b	NC1-269-87-3	Contract audit resolution case files Documents created or accumulated in the resolution and implementation of contract audit recommendations Included are audit reports, master control records pre-negotiation and/or price negotiation memoranda, award documents, settlement agreements, contracting officer's final decision letters, and related documents Included are communications with the contracting officers, finance centers, Office of Inspector General, Office of General Counsel, the Audit Follow-up Official, and related records b Audit resolution documents maintained by Central Office service and staff office management support offices and regional offices	Temporary Cut off at the end of the fiscal year when followup actions are complete Destroy 2 years after cutoff



Bucket	New Series	New Title	New Description	New Disposition	Type	Old GSA Number	Old Disposition Authority	Old Annotated Description	Old Disposition
						03B005a	N1-269-87-3	Internal audit resolution case files Documents accumulated in the resolution and implementation of internal audit recommendations Included are action plans, documents from resolving and implementing recommendations, resolution letters from the Inspector General; closure notices to action offices, and related correspondence and reports a Case files maintained by the Audit Resolution Management Controls Division	Temporary Cut off at the end of the fiscal year when all resolution and followup actions have been taken Hold 1 year and retire to FRC Destroy 5 years after cutoff
						03B005b	N1-269-87-3	Internal audit resolution case files Documents accumulated in the resolution and implementation of internal audit recommendations Included are action plans, documents from resolving and implementing recommendations, resolution letters from the Inspector General; closure notices to action offices, and related correspondence and reports b Case files maintained by Central Office service and staff office management support offices and regional offices	Temporary Cut off at the end of the fiscal year when all resolution and followup actions have been taken Destroy 2 years after cutoff
269 15	022	Audit Resolution Case File Destruction Report	This series is comprised of reports of the destruction of the audit resolution case files to provide a summary reference of archived case files that have been destroyed	Temporary Cut off at the end of the fiscal year Destroy 10 years after the latest case file destruction in that report	T			<i>New Record Type.</i>	
269 15	031	Audit Resolution Program Records	This series is comprised of records associated with the planning, budgeting, and management of the audit resolution program Included are audit guidance documents, audit summaries for internal use, area audit inspections, administrative topics related to the audit administration program, and related records	Temporary Cut off at the end of the fiscal year when issued, superseded, or canceled Destroy 3 years after cutoff, or when no longer needed for business reference purposes, whichever is sooner	T	03A001	NC1-269-82-003	Audit guidance Documents created in preparing, clearing, and issuing instructions and guides for use by auditors in GSA internal and contract audits, but not documents relating to instructions issued under the directives system Included are record copies of audit guides and instructions, clearance actions, and related reports Excluded are copies of audit guides included as part of the Audit Case File (03A025)	Temporary Cut off at the end of the fiscal year when superseded or canceled; destroy 3 years after cutoff
						03A010	NC1-269-82-003	Audit summaries Documents created in preparing and circulating summarized information on the status of audit activities, selected audit findings and recommendations, and other audit matters Included are periodic audit digests and summaries, reports of actions taken as a result of the summaries,	Temporary Cut off at the end of the fiscal year; destroy 3 years after cutoff
						03A015	NC1-269-82-003	Audit planning Documents created in identifying areas for audit, defining the scope of planned audits, and scheduling audits	Temporary Cut off at the end of the fiscal year; hold 2 years and retire to FRC Destroy 5 years after cutoff
						03A040	NC1-269-82-003	Area audit office inspections Documents accumulated in inspecting the activities of field audit offices for the purposes of increasing operational and administrative effectiveness Included are inspection reports and related records	Temporary Cut off at the end of the fiscal year; destroy 3 years after cutoff
						08C055	NC1-269-82-2	GAO exceptions Documents relating to exceptions taken by GAO as a result of audits	Temporary Cut off at end of fiscal year after GAO clears the exception; destroy 1 year later
						03A045	NC1-269-82-003	Audit administrative subject files Documents relating to the routine operation and administration of the audit function, but not general administrative files described in Schedule 01B Included are pertinent laws, copies of contracts or other authoritative documents relating to specific audit functional areas; organizational charts and functional statements; surveys of procedures and controls; statistical tabulations; contractors' financial statements; analyses of cost trends; and significant findings of prior audits in each functional area Excluded are documents filed in the Audit Case File (03A025)	Disposable Destroy when superseded or obsolete

## **269.15 - Audit Resolution Program Records**

The group of records is accumulated while controlling and monitoring the resolution and implementation of General Accounting Office (GAO) and other external agency audit reports, Office of the Inspector General (OIG) internal audit and contract audit reports, and related records. The GSA Audit, Evaluation, and Inspection Program Policy is covered in GSA HB, Audit Resolution and Follow-up System (ADM P 2030.2D). This group of records does not apply to documents accumulated in examining or auditing internal and contractor operations or by offices whose programs were audited.

### *269.15/010 – Semiannual Management Reports to the Congress*

This series is comprised of regular reports made to external agencies (such as the Congress, etc.). This report describes, for that specific reporting period, (1) the implementation of the recommendations by GSA Management contained in audit reports issued by the Office of the Inspector General (OIG), and (2) a report of cases where final action has not been taken on an audit one year after the date of the management decision.

*Permanent.* Cut off at the end of the fiscal year after the report is issued. Transfer to NARA 15 years after cutoff.

### *269.15/011 – Semiannual Management Report to the Congress Records Transfer Reports*

This record describes the transfer of specific reports described in 269.15/010 to NARA. This destruction report identifies by fiscal year, which report has been certified as “transferred to NARA” for business reference and recordkeeping purposes.

*Temporary.* Cut off at the end of the fiscal year after the report has been issued and replaced by succeeding annual reports. Destroy 15 years after cutoff.

### *269.15/021 – Audit Resolution Case Files*

This series contains records accumulated for reference and referral to GAO audits and OIG Contract and Internal audits, clearances, and all related audit information. Included are copies of Engagement Letter requests, Audit Memorandums, Draft and Final Audit Reports, implementation resolution documentation, statuses, and all related records included in the notification, development, working, implementation, and resolution of the audit lifecycle. These records are arranged often in chronological order.

*Temporary.* Cut off at the end of the fiscal year of the case file closing. Hold in an inactive status for two years and hold in archives for eight years. Destroy 10 years after cutoff.

*269.15/022 – Audit Resolution Case File Destruction Report*

This series is comprised of reports of the destruction of the audit resolution case files to provide a summary reference of archived case files that have been destroyed.

*Temporary.* Cut off at the end of the fiscal year. Destroy 10 years after the latest case file destruction in that report.

*269.15/031 - Audit Resolution Program Records*

This series is comprised of records associated with the planning, budgeting, and management of the audit resolution program. Included are audit guidance documents, audit summaries for internal use, area audit inspections, administrative topics related to the audit administration program, and related records.

*Temporary.* Cut off at the end of the fiscal year when issued, superseded, or canceled. Destroy 3 years after cutoff, or when no longer needed for business reference purposes, whichever is sooner.

## **269.16 - Human Resources Program Records**

This group of records is focused on the activities of a human resources program in the recruitment, training, and administrative activities of staff and succession planning, supporting special employee programs for internships, details, and executives, and analyzing and forecasting on staffing requirements and budgets based on the agencies workload. These records supplement the General Records Schedule and supersede all previously-scheduled GSA records in this area.

### *269.16/011 – Training Program Records*

This series of records is concerned with information created in the course of planning, administering, and training of agency employees. Such records include training needs assessments, meetings, focus groups, reports, and related correspondence and records for both agency and interagency training activities.

Disposition: Temporary. Cut off at the end of the fiscal year. Destroy 3 years after cutoff. Longer retention is authorized if needed for business reference purposes.

### *269.16/021 – Details, Internships, and Special Employee Program Records*

This series of records is concerned with human resource programs which work with segments of employees (details, Executive Services) or special classes of employees (such as trainees or interns). Such records include Executive Resources Board program files, opportunity announcements and related budgeting and planning records. Also included are detailee and internship reports, interviews, development plans, assignment applications and recommendations, and related correspondence and records.

Disposition: Temporary. Cut off at the end of the fiscal year. Destroy 3 years after cutoff. Longer retention is authorized if needed for business reference purposes, but no more than 10 years after cutoff.

### *269.16/031 – Human Resources Program Administrative Records*

This series of records is concerned with the routine activities of a human resources program of planning for, hiring, and assessments of agency personnel. Such records include review of position descriptions, employee policy development, staff budgeting and planning reports, staffing reports and forecasts, and related correspondence and records. Also included are appeal and grievance program records, employee rosters, workforce analyses and competency model planning, recruitment programs, activities, and reports, and related correspondence and records.

Disposition: Temporary. Cut off at the end of the fiscal year. Destroy 3 years after cutoff, unless needed for business reference purposes, but no longer than 10 years.

**269.16 - Human Resources Program Records**

This group of records is focused on the activities of a human resources program in the recruitment, training, and administrative activities of staff and succession planning, supporting special employee programs for internships, details, and executives, and analyzing and forecasting on staffing requirements and budgets based on the agencies workload. These records supplement the General Records Schedule and supersede all previously-scheduled GSA records in this area.

<i>RG</i>	<i>Series</i>	<i>Title</i>	<i>Description</i>	<i>Disposition</i>	<i>Type</i>	<i>Old GSA Number</i>	<i>Old Disposition Authority</i>	<i>Old Description</i>	<i>Disposition</i>
269 17	011	Training Program Records	This series of records is concerned with information created in the course of planning, administrating, and training of agency employees. Such records include training needs assessments, meetings, focus groups, reports, and related correspondence and records for both agency and interagency training activities.	Temporary. Cut off at the end of the fiscal year. Destroy 3 years after cutoff. Longer retention is authorized if needed for business reference purposes.	T	12H045	NC1-269-81-5	Interagency and other training. Documents accumulated in assisting in the development and conduct of training programs for employees of other Federal agencies, contract employees, employees of international organizations, and foreign nationals who are engaged in activities of functional interest to GSA. Included are records of meetings and discussions about training activities, correspondence reflecting advice and assistance, requests for information and replies, and related records.	Temporary. Cut off at the end of the fiscal year following completion of training program or course; destroy 2 years after cutoff.
						11E001	N1-269-89-001	Correspondence management training files. Documents relating to conduct of training sessions in correspondence preparation and format standards and related correspondence management subjects. Included are requests for, notifications of, and arrangements for training; number of people trained; and similar records.	Cut off annually, destroy when 1 year old.
						11E005	N1-269-89-001	Correspondence management training materials. Documents related to the preparation and use of training materials on format standards and other correspondence management subjects. Included are outlines, texts, handouts, training aids and related records.	Destroy when superseded or obsolete.
						12H010	NC1-269-81-5	Training courses and programs. Documents accumulated in establishing and conducting training courses and programs, and courses of instruction for employees; and negotiating with OPM, other Federal agencies, and non-Government organizations for the establishment and provision of training courses and programs. Included are contracts, agreements with outside agencies or organizations, records of meetings and discussions, course outlines, program instructions, and related records.	Temporary. Cut off at the end of the fiscal year when superseded, training program or course is completed, or contract is terminated. Destroy 2 years after cutoff.
						12H015a	NC1-269-81-5	Federal executives training: List of selectees. List of selectees.	Disposable. Maintain list of selectees until no longer needed.
						12H015b	NC1-269-81-5	Federal executives training: Invitations to submit candidates. Invitations from program sponsors to GSA to submit names of candidates, letters of application, recommendations, selection and rejection of candidates, personnel summaries, and related records.	Disposable. Cut off at the end of the fiscal year; destroy 2 years after cutoff.
						12H025	NC1-269-81-5	Training needs and plans. Documents accumulated in conducting studies to determine training needs, developing plans for training, and recording major accomplishments. Included are progress reports, studies, correspondence, and related records.	Disposable. Cut off at the end of the fiscal year; destroy 3 years after cutoff.
						12H035	NC1-269-81-5	Training facilities and equipment. Documents accumulated in the acquisition and use of training and conference rooms and training equipment. Included are purchase requisitions, descriptive literature, and related records.	Disposable. Destroy when superseded or obsolete.
						12H040	NC1-269-81-5	Training manuals and materials. Copies of training materials created and developed for courses or sessions. Included are lesson plans, workbooks, a copy of each syllabus, textbooks, handouts, training aids and related records.	Disposable. Destroy when superseded or obsolete.
						12H001	NC1-269-81-5	Training administrative files. Documents created in the general administration of employee training programs. Included are inventories of available training resources, requests for information on training activities, and related records not described elsewhere in this appendix.	Disposable. Cut off at the end of the fiscal year; destroy 2 years after cutoff.
269 17	021	Details, Internships, and Special Employee Program Records	This series of records is concerned with human resource programs which work with segments of employees (details, Executive Services) or special classes of employees (such as trainees or interns). Such records include Executive Resources Board program files, opportunity announcements and related budgeting and planning records. Also included are detailee and internship reports, interviews, development plans, assignment applications and recommendations, and related correspondence and records.	Temporary. Cut off at the end of the fiscal year. Destroy 3 years after cutoff. Longer retention is authorized if needed for business reference purposes, but no more than 10 years after cutoff.	T	12G001	NC1-269-81-4	GSA Executive Resources Board activities files. Documents created as a result of meetings of the GSA Executive Resources Board. These meetings are held to direct and review the Executive Resources Program and recommend changes in the program. Included are agenda, minutes and reports of meetings, lists of members, and other documentation of discussion held or actions taken.	Temporary. Cut off at the end of the fiscal year, hold 3 years and retire to FRC. Destroy 5 years after cutoff.
						12G005	NC1-269-81-4	Program planning and promotion. Documents accumulated in the development and execution of plan for the operation of the career executive development program. Included are documents used in announcing and promoting the program and arranging for the allocation of funds or facilities, and related records.	Disposable. Destroy when superseded or obsolete.
						12H020a	NC1-269-81-5	Individual trainee files. Documents accumulated to record personal data and progress of individual employees participating in the management intern or upward mobility program or other formal professional, technical, or clerical training program under a training agreement. Included are evaluations, correspondence, and other papers showing progress of trainees; training timetables; and similar information as well as semiannual ADP listings of training courses attended by individual trainees, and related records. a. Management interns and other trainees. Records of management interns and other trainees.	Temporary. Cut off at the end of the fiscal year following completion of training; destroy 3 years after cutoff.
						12H020b	NC1-269-81-5	Individual trainee files. Documents accumulated to record personal data and progress of individual employees participating in the management intern or upward mobility program or other formal professional, technical, or clerical training program under a training agreement. Included are evaluations, correspondence, and other papers showing progress of trainees; training timetables; and similar information as well as semiannual ADP listings of training courses attended by individual trainees, and related records. b. ADP listings.	Disposable. Destroy when no longer needed.
						12E060	NC1-269-81-4	Details. Documents accumulated in receiving and acting on requests for approvals of temporary assignment of GSA employees to other offices within GSA, to other Federal agencies, to congressional committees, or to world organizations without change in civil service status or pay status. Included are requests for personnel actions, requests for extension, referrals, and related records.	Disposable. Cut off at the end of the fiscal year; destroy 2 years after cutoff.

<i>RG</i>	<i>Series</i>	<i>Title</i>	<i>Description</i>	<i>Disposition</i>	<i>Type</i>	<i>Old GSA Number</i>	<i>Old Disposition Authority</i>	<i>Old Description</i>	<i>Disposition</i>
						12G015	NC1-269-81-4	Executive assignment applications Documents pertaining to individual candidates for, or members of the GSA Senior Executive Service Included are applications, recommendations, documents reflecting performance evaluations, assignments, and related records	Temporary Place in inactive file following separation from the agency; cut off at end of fiscal year Destroy 3 years after cutoff
						05A005	N1-269-90-3	GSA Contracting Intern Program	Temporary Cut off when Contracting Intern Program is completed; destroy 1 year after cutoff
269 17	31	Human Resources Program Administrative Records	This series of records is concerned with the routine activities of a human resources program of planning for, hiring, and assessments of agency personnel Such records include review of position descriptions, employee policy development, staff budgeting and planning reports, staffing reports and forecasts, and related correspondence and records Also included are appeal and grievance program records, employee rosters, workforce analyses and competency model planning, recruitment programs, activities, and reports, and related correspondence and records	Temporary Cut off at the end of the fiscal year Destroy 3 years after cutoff, unless needed for business reference purposes, but no longer than 10 years	T	08H035a	NC1-269-76-2	Employment records Documents created in reporting information on employment of review and use in developing staffing and financial data Included are reports of filled positions, reports of paid employment, and related records a Responsible budget office copies	Disposable Destroy when superseded or obsolete
						08H035b(1)	NC1-269-76-2	Employment records Documents created in reporting information on employment of review and use in developing staffing and financial data Included are reports of filled positions, reports of paid employment, and related records b Report copies Copies of reports of filled positions, reports of paid employment, and related records maintained in offices other than the Budget Office (1) Filled position reports	Disposable Cut off at end of fiscal year Destroy 1 year after cutoff
						08H035b(2)	NC1-269-76-2	Employment records Documents created in reporting information on employment of review and use in developing staffing and financial data Included are reports of filled positions, reports of paid employment, and related records b Report copies Copies of reports of filled positions, reports of paid employment, and related records maintained in offices other than the Budget Office (2) Paid employment reports	Disposable Destroy when superseded or obsolete
						11A020	N1-269-87-004	Position management files Documents created in conducting position management reviews, developing policies, procedures, and standards governing position management, and developing staffing patterns	Disposable Cut off annually; destroy when 5 years old if the program official approves
						12A015	NC1-269-81-04	Military reserve status files Documents created in reviewing the reserve status of "key" employees and in certifying their essentiality to the responsible military service for determination of removal of their reserve status Included are statements of military reserve status and certificates of essentiality, reserve reports, and related records	Cut off annually, destroy when 6 months old
						12G025	NC1-269-81-4	Executive manpower staffing goal files Documents created to record the number of high-potential midmanagers and incumbent executives required to ensure qualified executive replacements Included are routine and special reports, evaluation studies, individual career plans, pamphlets, agenda and minutes of meetings, and related records	Disposable Destroy when superseded or obsolete
						12G030	NC1-269-81-4	Executive manpower program files Documents created in reviewing the GSA Executive Resources Program and recommendations to the Administrator, assessing executive capability, establishing priorities, and related activities Included are correspondence on executive inventory lists, applications assignments, and related records	Temporary Cut off at the end of the fiscal year, hold 3 years and retire to FRC Destroy 8 years after cutoff
						02C060	NC1-269-78-001	Rosters Documents accumulated in the preparation and maintenance of rosters of GSA employee names, telephone numbers, addresses, or other data Included are page changes, key personnel lists, certifications, and related records	Disposable Destroy when superseded or obsolete
						12A010	NC1-269-81-04	Appeal and grievance examiner designations Documents accumulated in selecting and designating appeal and grievance examiners Included are recommendations for training, approvals, appointment and related records, but not appeal and grievance case records	Cut off annually, destroy when 4 years old
						12E055	NC1-269-81-4	Examinations Documents created in coordinating GSA employment requirements with the Office of Personnel Management Board of Examiners in order that examinations may be established, opened, or revised Included are recommendations, comments, and related records	Temporary Cut off at the end of the fiscal year; destroy 2 years after cutoff

## **269.17      Security Records**

This group of records is concerned with activities required by statute or directive to support the National Infrastructure Protection Plan, Federal Protective Services activities, Emergency and Continuity of Operations (COOP) activities, identity, credentialing and access management, personnel security and safety, industrial and information security. Such support includes planning, testing, developing policies, and resolving situations where the personnel, government assets (property, vehicles, etc.) are potentially endangered. These records supersede all previously-approved GSA schedules where they do not conflict with the General Records Schedule.

### *269.17/010 – Security Report Records*

This series of records focuses on the collection and reporting of Security programs within GSA's facilities, information safety coordination of the Information Safety Operating Office (ISOO), inspection reports, regulations, correspondence and related records.

Disposition: Permanent. Cut off at the end of the fiscal year when the report or regulation is published. Transfer to NARA 15 years after cutoff.

### *269.17/021 – Security Program Management Records*

This series of records focuses on the routine records that are created in the course of managing GSA's Security program. Such records include emergency notification records, special projects, interagency meetings, surveys, focus group activities, forums, feedback, correspondence, and related records. The sensitive nature of these records necessitates a record type for these program records.

Disposition: Temporary. Cut off at the end of the fiscal year or when superseded or obsolete. Destroy 5 years after cutoff. Longer retention is authorized for business or reference purposes, but no longer than 10 years.



## 269.17 - Security Program Records

This group of records is concerned with activities required by statute or directive to support the National Infrastructure Protection Plan, Federal Protective Services activities, Emergency and Continuity of Operations (COOP) activities, identity, credentialing and access management, personnel security and safety, industrial and information security. Such support includes planning, testing, developing policies, and resolving situations where the personnel, government assets (property, vehicles, etc.) are potentially endangered. These records supersede all previously-approved GSA schedules where they do not conflict with the General Records Schedule.

RG	Series	Title	Description	Disposition	Type	Old GSA Number	Old Disposition Authority	Old Description	Old Disposition
269 17	010	Security Report Records	This series of records focuses on the collection and reporting of Security programs within GSA's facilities, information safety coordination of the Information Safety Operating Office (ISOO), inspection reports, regulations, correspondence and related records	Cut off at the end of the fiscal year when the report or regulation is published Transfer to NARA 15 years after cutoff	P	16B045	NC1-269-84-03	Agency information security program data. Included are copies of Standard Form 311's, Agency Information Security Program Data, showing statistical data related to the information security program.	Permanent. Cut off annually, Transfer to FRC when 6 years old. Offer to NARA when 10 years old in 5 year blocks.
						16B075a	NC1-269-84-3	Special projects. Documents accumulated from ISOO's oversight of the governmentwide information security program to detect any problem areas or develop improvements for the system from participation in a task force. They include documents accumulated as a result of such task forces. a. Final reports accumulated from ISOO's oversight of the governmentwide information security program to detect any problem areas or develop improvements for the system from participation in a task force.	Permanent. Cut off at end of fiscal year. Transfer to FRC 4 years after cutoff. Transfer to NARA 10 years after cutoff in 5-year blocks.
						16B050a	NC1-269-84-03	Interagency meetings. Included are minutes of interagency meetings and related records. These meetings are convened and chaired by the ISOO director. a. Summaries.	Permanent. Cut off annually, transfer to FRC when 4 years old. Offer to NARA when 10 years old in 5 year blocks.
						16B065	NC1-269-84-03	Agency security files. Documents resulting from monitoring executive branch agencies in the governmentwide information security programs. Included are inspection reports, regulations, correspondence, and related records.	Permanent. Cut off annually, transfer to FRC when 4 years old. Offer to NARA when 10 years old in 5 year blocks.
269 17	021	Security Program Management Records	This series of records focuses on the routine records that are created in the course of managing GSA's Security program. Such records include emergency notification records, special projects, interagency meetings, surveys, focus group activities, forums, feedback, correspondence, and related records. The sensitive nature of these records necessitates a record type for these program records.	Cut off at the end of the fiscal year or when superseded or obsolete. Destroy 5 years after cutoff. Longer retention is authorized for business or reference purposes, but no longer than 10 years.	T	16B070	NC1-269-84-03	Special reports. Documents furnished to ISOO because of its oversight interest in the information security program.	Temporary. Cut off at the end of the fiscal year. Destroy 5 years after cutoff.
						16B075b	NC1-269-84-3	Special projects. Documents accumulated from ISOO's oversight of the governmentwide information security program to detect any problem areas or develop improvements for the system from participation in a task force. They include documents accumulated as a result of such task forces. b. Working papers accumulated from ISOO's oversight of the governmentwide information security program to detect any problem areas or develop improvements for the system from participation in a task force.	Temporary. Cut off at end of fiscal year. Destroy 5 years after cutoff.
						11C020	NI-269-91-001	Emergency notification records. Emergency notification instructions and lists of those to be notified in event of a national security emergency, covering key persons in the services and staff offices, those performing backup functions, and contractors providing related services, etc.	Destroy when superseded or obsolete.
						16B050b	NC1-269-84-03	Interagency meetings. Included are minutes of interagency meetings and related records. These meetings are convened and chaired by the ISOO director. b. Other records.	Cut off annually; destroy when 5 years old.

### **352.1 Information Technology Services to Other Agencies**

GSA Supports a variety of Information Technology Services to federal agencies. Such services include hosting an email service, publishing federal IT standards and specifications, providing a service desk or call center to support a given technology, assisting in the compilation of a common service for all federal agencies or other similar services. Formerly referred to as “ADP” or “automated data processing” services, this has been renamed to “Information Technology” services to encompass the variety of platforms, technologies, and software that are brought to bear on this function.

#### *352.1/011 – Interagency IT Service Agreement Records*

This series of records is focused on the arrangements, service level agreements, and terms used to supply IT services to non-GSA clients. Such records include IT Service Agreements, Service Level Agreements (SLAs), Authority To Operate (ATO) Memorandums, Memorandums of Understanding or Agreement, delegations of authority, modifications, correspondence, and related records.

*Temporary.* Cut off at the end of the fiscal year when the agreement is completed. Destroy 10 years after cutoff.

#### *352.1/021 – Interagency IT Service Hosting Program Records*

This series of records is concerned with setting up and managing an information technology service or call center for non-GSA clients. Records include reference and resource documentation used to support the service, helpdesk transactions and reports and recommendations, correspondence, and related records.

*Temporary.* Cut off at the end of the fiscal year. Destroy 5 years after cutoff.

#### *352.1/031 – IT Universal Standards and Specifications*

This series of records is concerned with the preparation, coordination, approval, maintenance and cancellation of information technology standards and specifications applied in sponsoring interagency IT services. Included are papers, lists of approved standards, industry standards and specifications, federally-adopted standards, standards and review committee materials, correspondence, and related records.

*Temporary.* Cut off at the end of the fiscal year when the standard or specification is superseded or no longer needed, or when the committee is disbanded. Destroy 5 years after cutoff.

### **352.2 – Information Hosting Records**

This group of records is focused on the information services that GSA provides to others outside of GSA. Such activities include building and managing a federal information center, creating

and maintaining web content for both the public and outside the agency, and related records in developing and managing such a program.

*352.2/011 - Publicly-posted Information*

This series is concerned with information posted both for audiences inside and outside the agency. Included are unscheduled web content, public dialogues such as forums, surveys, and comment postings, regulatory or statutorily mandated public postings, and related records.

*Temporary.* Cutoff at the end of the fiscal year in which the posting becomes superseded, obsolete, or canceled. Destroy 3 years after cutoff. Longer retention is authorized if needed to comply with other authorities. For information where the official record is kept separate from this posted information, the official record will be retained in accordance with the related record type schedule. For all other public content, this record type will apply.

*352.2/012 – Information Service Program Management Records*

This series of records is concerned with creating and managing an information resource for use or reference by the public and/or federal agencies in carrying out their work. Included are Federal Information Resources such as Data.gov and USA.gov, change management decisions, planning documents, promotional materials, review reports, and related records.

*Temporary.* Cut off at the end of the fiscal year. Destroy 3 years after cutoff. Longer retention is authorized if required for statutory or authoritative reasons.

## RECORDS FILE PLAN AND INVENTORY

This form is to be used to capture information on the records and non-records in an office and it will help aid in creating an office's File Plan. Once this form is filled out, it will serve as an office's file plan. See Page 2 for instructions.

1. Preparer		2. Office	
a. Name Rhonda Clapp	b. Telephone Number 816-926-5335	a. Office Maintaining the Records Office of the Chief Financial Officer	
c. E-mail Address rhonda.clapp@gsa.gov	d. Date of Inventory 8/6/2014	b. Office Division Office Of Financial Policy and Operations - BC	
		c. Service Center ( <i>Regions Only</i> ) BCE	
3. Preparer's Supervisor		4. Records Management Coordinator (RMC) ( <i>Approver</i> )	
a. Name Scott Royster	b. Date 8/6/2014	a. Name Aman Sinthorntham	b. Date 8/14/2014
c. Signature  U.S. Govern ment		c. Signature  ARNAN SINTHORNTAM	
		<small>Digitally signed by ARNAN SINTHORNTAM DN: c=US, o=U.S. Government, ou=General Services Administration, cn=ARNAN SINTHORNTAM, 09 2342 10200300 100 1 1=47001002633299 Date: 2014.08.14 17:58:11 -0400</small>	

### 5. Record Disposition Information

Record Number 1	(a) Record Symbol 01A001	(b) NARA Disposition Authority GRS 23/09
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(c) Records Series Title (*Record Name*)  
Finding aids/indexes

(d) Records Description  
Finding aids/indexes. Indexes, lists, registers and other finding aids in hard copy or electronic form used only to provide access to records authorized for destruction by this handbook. Excluded are records containing abstracts or other information that can be used as an information source apart from the related records.

(e) Disposition Instructions  
Destroy or delete with the related records or when no longer needed.

(f) Format of Records Electronic - Stored on a Shared Drive only	(g) Records Location J:\BCE\Shared Divisional\All Associate Info\BCE Files Plans
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**5. Record Disposition Information**

Record Number 2	(a) Record Symbol 08A001b	(b) NARA Disposition Authority GRS 06/05b
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(c) Records Series Title (Record Name)  
Accounting administrative files.

(d) Records Description  
Correspondence, reports and data relating to voucher preparation, administrative audit, and other accounting and disbursing operations.  
b. All other files.

(e) Disposition Instructions  
Temporary. Cut off at the end of the fiscal year; destroy 3 years after cutoff

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(f) Format of Records Electronic - Stored on a Shared Drive only	(g) Records Location J:\BCE\BCED
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Record Number 3	(a) Record Symbol 08C005	(b) NARA Disposition Authority NC1-269-82-2
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(c) Records Series Title (Record Name)  
Contract officers' copy files.

(d) Records Description  
Copies of contracts; memorandum copies of vouchers; and copies of invoices, purchase orders, gasoline sales tickets, receiving reports, and other payment documents on paper or microfilm, but not documents required for GAO site audit payment files or transportation document files.

(e) Disposition Instructions  
Temporary. Cut off at end of fiscal year. Destroy 3 years later or after audit by GAO, whichever is earlier.

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(f) Format of Records Other	(g) Records Location Pegasys and ImageNow
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5. Record Disposition Information

Record Number 4	(a) Record Symbol 08F021b(1)(a)	(b) NARA Disposition Authority GRS 02/06a
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(c) Records Series Title (*Record Name*)

(1) Leave application file.

(d) Records Description

(a) If timecard (GSA Form 3575) has been initialed by the employee.

(e) Disposition Instructions

Disposable. Destroy SF 71, Application for Leave, or other leave application, at end of applicants pay period.

(f) Format of Records Other	(g) Records Location Authorized Leave & Overtime Help Application (ALOHA)
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Record Number 5	(a) Record Symbol 08F021b(2)(b)	(b) NARA Disposition Authority GRS 02/07
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(c) Records Series Title (*Record Name*)

(2) Time and Attendance report files.

(d) Records Description

(b) Time and attendance source records, including flexitime registers. All time and attendance records upon which leave input data is based, such as time or sign-in sheets; time cards (such as OF 1130); flexitime records; leave applications for jury and military duty; authorized premium pay or overtime, maintained at duty post, upon which leave input data is based.

(e) Disposition Instructions

Temporary. Cut off at the end of the leave year; destroy 6 years after cutoff or after GAO audit, whichever occurs first.

(f) Format of Records Electronic - Stored on a Shared Drive only	(g) Records Location J:\BCE\BCED\General Branch-Share\Timecards
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**5. Record Disposition Information**

Record Number 6	(a) Record Symbol 08F021b(2)(c)	(b) NARA Disposition Authority GRS 02/07
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(c) Records Series Title (*Record Name*)  
(2) Time and Attendance report files.

(d) Records Description  
(c) Time and attendance input records, used to input time and attendance data into a payroll system

(e) Disposition Instructions  
Temporary. Cut off at the end of the leave year; destroy 6 years after cutoff or after GAO audit, whichever occurs first.

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(f) Format of Records Electronic - Stored on a Shared Drive only	(g) Records Location J:\BCE\BCED\General Branch-Share\Timecards
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Record Number 7	(a) Record Symbol 12H025	(b) NARA Disposition Authority NC1-269-81-5
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(c) Records Series Title (*Record Name*)  
Training Needs and plans

(d) Records Description  
Documents accumulated in conducting studies to determine training needs, developing plans for training, and recording major accomplishments. Included are progress reports, studies, correspondence and related records.

(e) Disposition Instructions  
Disposable. Cut off end of fiscal year. Destroy 3 years after cutoff.

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(f) Format of Records Other	(g) Records Location IDP Enterprise Tool - Salesforce
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## RECORDS FILE PLAN AND INVENTORY INSTRUCTIONS

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This form is to be completed by all Records Custodians (GSA employees) and sent to the designated Records Management Coordinator (RMC). The RMC will review and forward this form to the designated Senior Records Officers (SRO). Fill out a line item for every record series.

Important Note: You must use the GSA Disposition Schedule found at <https://insite.gsa.gov/portal/getMediaData?mediaId=614910> to fill out and complete this form. Do NOT use the PDF version to copy and paste from.

A records series is the grouping of records as it relates documents or information being grouped by a particular subject or function, resulting from the same activity, documenting a specific kind of transaction, regardless of physical form (i.e. paper, microfiche, digital photograph, MS Word document, electronic, etc.), or that have some other relationship arising out of their creation/receipt or use.

Field 1. Type Preparer information: name, telephone number, e-mail address and date of inventory.

Field 2(a). Type the name of the office maintaining the records.

Field 2(b). Type your Division or Service Center name. Do NOT use symbol abbreviations or acronyms. Type the name out in its entirety.

Field 3. This form needs to be reviewed by you're a custodian's supervisor and the supervisor's name and signature need to go into this field with the date.

Field 4. This form needs to be reviewed by the Records Management Coordinator (RMC). Put the RMC's name and have them sign and date this field.

Field 5. Records Disposition Information

Field 5(a). The Records Symbol comes from GSA's record schedule. A Records Symbol example is 2A105C. If you do not know the Records Symbol put "unknown".

Field 5(b). The General Records Schedule (GRS) number is found in the records symbol title in GSA's Records Schedule. This will be the number in parenthesis such as (GRS 14/13b) or (N1-269-89-2).

Field 5(c). Records Series Title (records name), put the name of the record as named from GSA's File Plan (Records Disposition Schedule) or the General Records Schedule (GRS).

Field 5(d). Provide one or two sentences describing the record's purpose. The description should contain enough information to show the purpose, use and subject content of the records.

Some guidelines to follow in describing your records:

- (a) Avoid emphasizing form numbers, especially when describing case files.
- (b) Avoid terms, such as "miscellaneous" or "various," that add nothing to the description.
- (c) Give special attention to describing your records, and
- (d) When in doubt, more information is best.

Field 5(e). For example: Temporary. Destroy 6 years after final action by GSA or after final adjudication by the courts, whichever is later. If you do not know the disposition instruction put "unknown." However, if you know that the records are new and are not scheduled put "unscheduled". Feel free to consult with your designated Records Management Coordinator (RMC) for help.

Field 5(f). The format of the records relates to the medium type, such as are the records paper, electronic, book, Microfilm, etc.

Field 5(g). Provide the location of where the records are located. If they are paper records, provide the room number or room area where the records can be found. If the records are electronic, provide the file path location of where they can be found. For example H:\CIO Share\_Drive\ICE\Records\Project Folder



## RECORDS FILE PLAN AND INVENTORY

This form is to be used to capture information on the records and non-records in an office and it will help aid in creating an office's File Plan. Once this form is filled out, it will serve as an office's file plan. See Page 2 for instructions.

1. Preparer		2. Office	
a. Name Judy Gonzales	b. Telephone Number 816-926-7063	a. Office Maintaining the Records Office of the Chief Financial Officer	
c. E-mail Address judy.gonzales@gsa.gov	d. Date of Inventory 8/6/2014	b. Office Division Office Of Financial Policy and Operations - BC	
		c. Service Center (Regions Only) BCE	
3. Preparer's Supervisor		4. Records Management Coordinator (RMC) (Approver)	
a. Name Scott Royster	b. Date 8/6/2014	a. Name Aman Sinthorntham	b. Date 8/14/2014
c. Signature  U.S. Govern ment		c. Signature  ARNAN SINTHORNTHAM	
<small>Digitally signed by U.S. Government DN: c=US, o=U.S. Government OU=General Services Administration Date: 2014.08.14 13:06:13 -0500</small>		<small>Digitally signed by ARNAN SINTHORNTHAM DN: c=US, o=U.S. Government, ou=General Services Administration, cn=ARNAN SINTHORNTHAM 0.5.2342.18203300.100.1.1-47001002833299 Date: 2014.08.14 10:00:20 -0400</small>	

### 5. Record Disposition Information

Record Number 1	(a) Record Symbol 01A001	(b) NARA Disposition Authority GRS 23/09
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(c) Records Series Title (Record Name)  
Finding aids/indexes

### (d) Records Description

Finding aids/indexes. Indexes, lists, registers and other finding aids in hard copy or electronic form used only to provide access to records authorized for destruction by this handbook. Excluded are records containing abstracts or other information that can be used as an information source apart from the related records.

### (e) Disposition Instructions

Destroy or delete with the related records or when no longer needed.

### (f) Format of Records

Electronic - Stored on a Shared Drive only

### (g) Records Location

J:\BCE\Shared Division\All Associate Info\BCE Files Plans

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**5. Record Disposition Information**

Record Number 2	(a) Record Symbol 08A001b	(b) NARA Disposition Authority GRS 06/05b
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(c) Records Series Title (*Record Name*)  
Accounting administrative files.

(d) Records Description  
Correspondence, reports and data relating to voucher preparation, administrative audit, and other accounting and disbursing operations.  
b. All other files.

(e) Disposition Instructions  
Temporary. Cut off at the end of the fiscal year; destroy 3 years after cutoff

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(f) Format of Records Electronic - Stored on a Shared Drive only	(g) Records Location J:\BCE\BCED
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Record Number 3	(a) Record Symbol 08C005	(b) NARA Disposition Authority NC1-269-82-2
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(c) Records Series Title (*Record Name*)  
Contract officers' copy files.

(d) Records Description  
Copies of contracts; memorandum copies of vouchers; and copies of invoices, purchase orders, gasoline sales tickets, receiving reports, and other payment documents on paper or microfilm, but not documents required for GAO site audit payment files or transportation document files.

(e) Disposition Instructions  
Temporary. Cut off at end of fiscal year. Destroy 3 years later or after audit by GAO, whichever is earlier.

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(f) Format of Records Other	(g) Records Location Pegasys and ImageNow
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**5. Record Disposition Information**

Record Number 4	(a) Record Symbol 08F021b(1)(a)	(b) NARA Disposition Authority GRS 02/06a
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(c) Records Series Title (*Record Name*)

(1) Leave application file.

(d) Records Description

(a) If timecard (GSA Form 3575) has been initialed by the employee.

(e) Disposition Instructions

Disposable. Destroy SF 71, Application for Leave, or other leave application, at end of applicants pay period.

(f) Format of Records  
Other

(g) Records Location  
Authorized Leave & Overtime Help Application (ALOHA)

Record Number 5	(a) Record Symbol 08F021b(2)(b)	(b) NARA Disposition Authority GRS 02/07
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(c) Records Series Title (*Record Name*)

(2) Time and Attendance report files.

(d) Records Description

(b) Time and attendance source records, including flexitime registers. All time and attendance records upon which leave input data is based, such as time or sign-in sheets; time cards (such as OF 1130); flexitime records; leave applications for jury and military duty; authorized premium pay or overtime, maintained at duty post, upon which leave input data is based.

(e) Disposition Instructions

Temporary. Cut off at the end of the leave year; destroy 6 years after cutoff or after GAO audit, whichever occurs first.

(f) Format of Records  
Electronic - Stored on a Shared Drive only

(g) Records Location  
J:\BCE\BCED\General Branch-Share\Timecards

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**5. Record Disposition Information**

Record Number 6	(a) Record Symbol 08F021b(2)(c)	(b) NARA Disposition Authority GRS 02/07
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(c) Records Series Title (*Record Name*)  
(2) Time and Attendance report files.

(d) Records Description  
(c) Time and attendance input records, used to input time and attendance data into a payroll system

(e) Disposition Instructions  
Temporary. Cut off at the end of the leave year; destroy 6 years after cutoff or after GAO audit, whichever occurs first.

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(f) Format of Records Electronic - Stored on a Shared Drive only	(g) Records Location J:\BCE\BCED\General Branch-Share\Timecards
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Record Number 7	(a) Record Symbol 12H025	(b) NARA Disposition Authority NC1-269-81-5
--------------------	-----------------------------	--

(c) Records Series Title (*Record Name*)  
Training Needs and plans

(d) Records Description  
Documents accumulated in conducting studies to determine training needs, developing plans for training, and recording major accomplishments. Included are progress reports, studies, correspondence and related records.

(e) Disposition Instructions  
Disposable. Cut off end of fiscal year. Destroy 3 years after cutoff.

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(f) Format of Records Other	(g) Records Location IDP Enterprise Tool - Salesforce
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## RECORDS FILE PLAN AND INVENTORY INSTRUCTIONS

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This form is to be completed by all Records Custodians (GSA employees) and sent to the designated Records Management Coordinator (RMC). The RMC will review and forward this form to the designated Senior Records Officers (SRO). Fill out a line item for every record series.

Important Note: You must use the GSA Disposition Schedule found at <https://insite.gsa.gov/portal/getMediaData?mediaId=614910> to fill out and complete this form. Do NOT use the PDF version to copy and paste from.

A records series is the grouping of records as it relates documents or information being grouped by a particular subject or function, resulting from the same activity, documenting a specific kind of transaction, regardless of physical form (i.e. paper, microfiche, digital photograph, MS Word document, electronic, etc.), or that have some other relationship arising out of their creation/receipt or use.

Field 1. Type Preparer information: name, telephone number, e-mail address and date of inventory.

Field 2(a). Type the name of the office maintaining the records.

Field 2(b). Type your Division or Service Center name. Do NOT use symbol abbreviations or acronyms. Type the name out in its entirety.

Field 3. This form needs to be reviewed by you're a custodian's supervisor and the supervisor's name and signature need to go into this field with the date.

Field 4. This form needs to be reviewed by the Records Management Coordinator (RMC). Put the RMC's name and have them sign and date this field.

Field 5. Records Disposition Information

Field 5(a). The Records Symbol comes from GSA's record schedule. A Records Symbol example is 2A105C. If you do not know the Records Symbol put "unknown".

Field 5(b). The General Records Schedule (GRS) number is found in the records symbol title in GSA's Records Schedule. This will be the number in parenthesis such as (GRS 14/13b) or (N1-269-89-2).

Field 5(c). Records Series Title (records name), put the name of the record as named from GSA's File Plan (Records Disposition Schedule) or the General Records Schedule (GRS).

Field 5(d). Provide one or two sentences describing the record's purpose. The description should contain enough information to show the purpose, use and subject content of the records.

Some guidelines to follow in describing your records:

- (a) Avoid emphasizing form numbers, especially when describing case files.
- (b) Avoid terms, such as "miscellaneous" or "various," that add nothing to the description.
- (c) Give special attention to describing your records, and
- (d) When in doubt, more information is best.

Field 5(e). For example: Temporary. Destroy 6 years after final action by GSA or after final adjudication by the courts, whichever is later. If you do not know the disposition instruction put "unknown." However, if you know that the records are new and are not scheduled put "unscheduled". Feel free to consult with your designated Records Management Coordinator (RMC) for help.

Field 5(f). The format of the records relates to the medium type, such as are the records paper, electronic, book, Microfilm, etc.

Field 5(g). Provide the location of where the records are located. If they are paper records, provide the room number or room area where the records can be found. If the records are electronic, provide the file path location of where they can be found. For example H:\CIO Share\_Drive\NCE\Records\Project Folder





## RECORDS FILE PLAN AND INVENTORY

This form is to be used to capture information on the records and non-records in an office and it will help aid in creating an office's File Plan. Once this form is filled out, it will serve as an office's file plan. See Page 2 for instructions.

1. Preparer		2. Office	
a. Name Julianne White	b. Telephone Number 8168234580	a. Office Maintaining the Records Office of the Chief Financial Officer	
c. E-mail Address julianne.white@gsa.gov	d. Date of Inventory 8/6/2014	b. Office Division Office Of Financial Policy and Operations - BC	
3. Preparer's Supervisor		c. Service Center (Regions Only) BCE	
a. Name Scott Royster	b. Date 8/6/2014	4. Records Management Coordinator (RMC) (Approver)	
c. Signature  U.S. Govern ment		a. Name Aman Sinthorntham	b. Date 8/14/2014
<small>Digitally signed by U.S. Government DN: c=US, o=U.S. Government, ou=General Services Administration Date: 2014.08.14 13:05:38 -0500</small>		c. Signature  <b>ARNAN SINTHORNTHAM</b> <small>Digitally signed by ARNAN SINTHORNTHAM DN: cn=US, o=U.S. Government, ou=General Services Administration, cn=ARNAN SINTHORNTHAM o=B.2342.19200300.100.1.1+47001002833299 Date: 2014.08.14 18:25:17 -0400</small>	

### 5. Record Disposition Information

Record Number 1	(a) Record Symbol 01A001	(b) NARA Disposition Authority GRS 23/09
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(c) Records Series Title (Record Name)  
Finding aids/indexes

(d) Records Description  
Finding aids/indexes. Indexes, lists, registers and other finding aids in hard copy or electronic form used only to provide access to records authorized for destruction by this handbook. Excluded are records containing abstracts or other information that can be used as an information source apart from the related records.

(e) Disposition Instructions  
Destroy or delete with the related records or when no longer needed.

(f) Format of Records Electronic - Stored on a Shared Drive only	(g) Records Location J:\BCE\Shared Division\All Associate Info\BCE Files Plans
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**5. Record Disposition Information**

Record Number 2	(a) Record Symbol 08A001b	(b) NARA Disposition Authority GRS 06/05b
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(c) Records Series Title (Record Name)  
Accounting administrative files.

(d) Records Description  
a. Correspondence, reports and data relating to voucher preparation, administrative audit, and other accounting and disbursing operations.  
b. All other files

(e) Disposition Instructions  
Temporary. Cut off at the end of the fiscal year; destroy 3 years after cutoff.

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(f) Format of Records Electronic - Stored on a Shared Drive only	(g) Records Location J:\BCE\BCED
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Record Number 3	(a) Record Symbol 08C005	(b) NARA Disposition Authority NC1-269-82-2
--------------------	-----------------------------	--

(c) Records Series Title (Record Name)  
Contract officers' copy files.

(d) Records Description  
Copies of contracts; memorandum copies of vouchers; and copies of invoices, purchase orders, gasoline sales tickets, receiving reports, and other payment documents on paper or microfilm, but not documents required for GAO site audit payment files or transportation document files.

(e) Disposition Instructions  
Temporary. Cut off at end of fiscal year. Destroy 3 years later or after audit by GAO, whichever is earlier.

---

(f) Format of Records Other	(g) Records Location Pegasys and ImageNow
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5. Record Disposition Information

Record Number 4	(a) Record Symbol 08F021b(1)(a)	(b) NARA Disposition Authority GRS 02/06a
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(c) Records Series Title (*Record Name*)

(1) Leave application file.

(d) Records Description

(a) If timecard (GSA Form 3575) has been initialed by the employee.

---

(e) Disposition Instructions

Disposable. Destroy SF 71, Application for Leave, or other leave application, at end of applicants pay period.

---

(f) Format of Records

Other

(g) Records Location

Authorized Leave & Overtime Help Application (ALOHA)

Record Number 5	(a) Record Symbol 08F021b(2)(b)	(b) NARA Disposition Authority GRS 02/07
--------------------	------------------------------------	---

(c) Records Series Title (*Record Name*)

(2) Time and Attendance report files.

(d) Records Description

(b) Time and attendance source records, including flexitime registers. All time and attendance records upon which leave input data is based, such as time or sign-in sheets; time cards (such as OF 1130); flexitime records; leave applications for jury and military duty; authorized premium pay or overtime, maintained at duty post, upon which leave input data is based.

---

(e) Disposition Instructions

Temporary. Cut off at the end of the leave year; destroy 6 years after cutoff or after GAO audit, whichever occurs first.

---

(f) Format of Records

Electronic - Stored on a Shared Drive only

(g) Records Location

J:\BCE\BCED\General Branch-Share\Timecards

---

**5. Record Disposition Information**

Record Number 6	(a) Record Symbol 08F021b(2)(c)	(b) NARA Disposition Authority GRS 02/07
--------------------	------------------------------------	---

(c) Records Series Title (*Record Name*)  
(2) Time and Attendance report files.

(d) Records Description  
(c) Time and attendance input records, used to input time and attendance data into a payroll system

(e) Disposition Instructions  
Temporary. Cut off at the end of the leave year; destroy 6 years after cutoff or after GAO audit, whichever occurs first.

(f) Format of Records Electronic - Stored on a Shared Drive only	(g) Records Location J:\BCE\BCED\General Branch-Share\Timecards
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Record Number 7	(a) Record Symbol 12H025	(b) NARA Disposition Authority NC1-269-81-5
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(c) Records Series Title (*Record Name*)  
Training Needs and plans

(d) Records Description  
Documents accumulated in conducting studies to determine training needs, developing plans for training, and recording major accomplishments. Included are progress reports, studies, correspondence and related records.

(e) Disposition Instructions  
Disposable. Cut off end of fiscal year. Destroy 3 years after cutoff.

(f) Format of Records Other	(g) Records Location IDP Enterprise Tool - Salesforce
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## RECORDS FILE PLAN AND INVENTORY INSTRUCTIONS

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This form is to be completed by all Records Custodians (GSA employees) and sent to the designated Records Management Coordinator (RMC). The RMC will review and forward this form to the designated Senior Records Officers (SRO). Fill out a line item for every record series.

**Important Note:** You must use the GSA Disposition Schedule found at <https://insite.gsa.gov/portal/getMediaData?mediaId=614910> to fill out and complete this form. Do NOT use the PDF version to copy and paste from.

A records series is the grouping of records as it relates documents or information being grouped by a particular subject or function, resulting from the same activity, documenting a specific kind of transaction, regardless of physical form (i.e. paper, microfiche, digital photograph, MS Word document, electronic, etc.), or that have some other relationship arising out of their creation/receipt or use.

Field 1. Type Preparer information: name, telephone number, e-mail address and date of inventory.

Field 2(a). Type the name of the office maintaining the records.

Field 2(b). Type your Division or Service Center name. Do NOT use symbol abbreviations or acronyms. Type the name out in its entirety.

Field 3. This form needs to be reviewed by you're a custodian's supervisor and the supervisor's name and signature need to go into this filed with the date.

Field 4. This form needs to be reviewed by the Records Management Coordinator (RMC). Put the RMC's name and have them sign and date this field.

Field 5. Records Disposition Information

Field 5(a). The Records Symbol comes from GSA's record schedule. A Records Symbol example is 2A105C. If you do not know the Records Symbol put "unknown".

Field 5(b). The General Records Schedule (GRS) number is found in the records symbol title in GSA's Records Schedule. This will be the number in parenthesis such as (GRS 14/13b) or (N1-269-89-2).

Field 5(c). Records Series Title (records name), put the name of the record as named from GSA's File Plan (Records Disposition Schedule) or the General Records Schedule (GRS).

Field 5(d). Provide one or two sentences describing the record's purpose. The description should contain enough information to show the purpose, use and subject content of the records.

Some guidelines to follow in describing your records:

- (a) Avoid emphasizing form numbers, especially when describing case files.
- (b) Avoid terms, such as "miscellaneous" or "various," that add nothing to the description.
- (c) Give special attention to describing your records, and
- (d) When in doubt, more information is best.

Field 5(e). For example: Temporary. Destroy 6 years after final action by GSA or after final adjudication by the courts, whichever is later. If you do not know the disposition instruction put "unknown." However, if you know that the records are new and are not scheduled put "unscheduled". Feel free to consult with your designated Records Management Coordinator (RMC) for help.

Field 5(f). The format of the records relates to the medium type, such as are the records paper, electronic, book, Microfilm, etc.

Field 5(g). Provide the location of where the records are located. If they are paper records, provide the room number or room area where the records can be found. If the records are electronic, provide the file path location of where they can be found. For example H:\CIO Share\_Drive\ICE\Records\Project Folder





May 4, 2016

Laurence Brewer  
Acting Chief Records Officer  
National Archives and Records Administration  
Modern Records Programs (NWM)  
8601 Adelphi Road  
College Park, MD 20740-6601

Dear Mr. Brewer:

I am writing in response to your letter of February 25, 2016. In that letter, you requested that I address the items required by 36 CFR §1230.14 and you also posed some additional follow up questions. Your February 25th letter was in response to my November 19, 2015 letter.

Although I disagree that records were unlawfully or accidentally destroyed, I will initially address the requirements set forth in 36 CFR §1230.14(a).

(1) A complete description of the records with volume and dates, if known

- Approximately 21,000 emails relating to the Army Child Care Subsidy program were received from December 2014 to April 2015. Emails that contained pertinent information relevant to a case file were uploaded to the system of record (ImageNow), including all attachments, and the email was then deleted from the shared Google email mailbox. Approximately 2,900 emails were deleted from the shared Google mailbox. (removed from the original shared email mailbox). Although they were "deleted" from the shared emails mailbox, the emails are retained in GSA's email solution, Google.
- Between December 2014 and April 2015, approximately 33,000 calls were received by the Childcare program. A log of the missed calls (number called from and date) was used to conduct the Agency's business.

(2) The office maintaining the records

The External Services Branch, Financial and Payroll Services Division of the Office of the Chief Financial Officer (OCFO), in Kansas City, Missouri, was responsible for managing the records.



- (3) A statement of the exact circumstances surrounding the removal, defacing, alteration or destruction of records

As stated in my previous letter and above, GSA did not destroy records. Emails related to individuals' case files were moved to a record retention system, at the time it was ImageNow. During the time period in question, it is my understanding that transitory emails were not required to be retained for any minimum period of time; however, although deleted from the mailbox, the emails do remain in the larger GSA email system.

As for the voicemails, from approximately December 2014, GSA took action based solely on the call log and not the content of any such voicemail; therefore, the content of the voicemails were not Agency records. While we admit this was not a model of customer service, and have and do apologize for it, it is GSA's understanding that to be a record, the information had to be evidence of the organization, functions, policies, decisions, procedures, or operations of GSA, as the definition of record provides. Since GSA did not retrieve the messages, their contents remain unknown, and thus, had no impact on the operations, procedures, or decisions of the Agency. Again, GSA acknowledges this was not good customer service. However, as NARA's letter stated, the intent of the Federal Records Act is to preserve material "having evidentiary value relative to the business of the agency." These un-retrieved voicemails had absolutely no impact on the Agency's decisions, procedures, or operations and thus are not subject to preservation under the Records Act. To hold otherwise would require agencies to capture and preserve indefinitely every attempted communication.

- (4) Safeguards established to prevent further loss of documentation

Effective February 2015, GSA emails were no longer deleted and were stored in GSA's Google email solution, with non-transitory emails being stored as well in the system of record, ImageNow (former system) or Salesforce (current system). With procedural changes within the program, only managers were responsible for deleting emails, so staff were not trained to implement the change in the deletion policy.

Staff were given verbal instructions by program management to upload the entire email to system of record if relevant information was contained in an email or in attachments.

On June 5, 2015, the operation of the voicemail system was turned over to a vendor to answer calls and return voicemails. This allowed all phone calls to be answered and voicemails to be returned within 48 hours.

- (5) When appropriate, details of the action taken to salvage, retrieve, or reconstruct the records

As was described in my letter of November 19, 2015, and above, no records were destroyed and, thus, no action was necessary.

I now turn to the additional specific questions posed in your letter.

- (a) In instances where an email sent to the shared box was immediately acted upon, were these emails also included in ImageNow?

Yes, if an email contained pertinent information relating to a case file, it was attached in ImageNow.

- (b) What disposition authority(ies) is GSA applying to the records stored in ImageNow?

Based on the Records File Plan and Inventory from FY 2014, ImageNow/Salesforce documents use the NARA Disposition Authorities: GRS 06/01, GRS 06/05b, GRS 02/24, NC1-269-77-1, and NC1-269-82-2. Based on the disposition timelines, records in ImageNow/Salesforce will be removed 6 years and 3 months after close out because this is the longest disposition timeline for these records symbols. No records/case files have been removed from ImageNow/Salesforce.

- (c) Are all case files for this program stored in the ImageNow system?

Old case files that were completed before June 1, 2015, are stored in ImageNow. Effective June 2015, new/current case files are stored in Salesforce.

- (d) For emails that were deleted when the mailbox was approximately 97 percent full, are those emails found in ImageNow?

If the email was related to a case file, it can be found in ImageNow.

- (e) If not, what volume and number of emails, not disposable under GRS 4.2 item 10, were deleted without meeting the retention period for the programs' records?

To the best of our knowledge, no email records relating to case files were deleted. They are saved in ImageNow (former system) or Salesforce (current system).

- (f) Voicemail may be routine and transitory or it can contain information of importance for inclusion in the case file of a program applicant or participant. How was this determination made?

A log was created that captured telephone numbers and then all calls were returned. When the call was returned, if there was pertinent information for a case file, then "notes" were added to ImageNow (former system) or Salesforce (current system).

- (g) How was the information contained in voicemails captured and, where applicable, included with the case file? The creation of a call log using system metadata creates a new record and does not eliminate the requirement to manage the voicemails as records.

The sponsors/providers were called back to determine the issue instead of using information in the voicemail. The follow up call discussions were captured in a Google document and added to the case file in ImageNow (former system) or Salesforce (current system), if pertinent. As an example, if a family called to provide missing information, such as an email address, that email address was added to the case file in the appropriate fields and the case was moved forward.

#### 2039 Information

- (h) In addition, please provide a copy of the Records Maintenance Plan (GSA 2039), or equivalent, for the GSA administration of the Army's Child care Subsidy Program.

The 2039 Records File Plan and Inventory (maintenance plan) for the child case subsidy program was completed in 2014 and is attached to this letter.

Currently, based on the disposition timelines, records in ImageNow (former system) or Salesforce (current system) will be removed 6 years and 3 months after close out of a case file because this is the longest disposition timeline for these records symbols. No records/case files have been removed from ImageNow (former system) or Salesforce (current system).

If you have further questions, please contact Deborah Lague at [deborah.lague@gsa.gov](mailto:deborah.lague@gsa.gov) or via telephone at 703-932-3256 or me at [cynthia.metzler@gsa.gov](mailto:cynthia.metzler@gsa.gov) or 202-357-9697.

Sincerely,

**(b) (6)**

Cynthia A. Metzler  
Chief Administrative Services Officer  
Office of Administrative Services  
General Services Administration

Appendix 04-C. Telecommunications Program  
Records

Appendix 04-D. Electronic Records

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## **SCHEDULE 6. DESIGN AND CONSTRUCTION PROGRAM RECORDS**

1. General. This schedule provides documentation and maintenance and disposition instructions for Federal building design and construction programs. These instructions are contained in:

- a. Appendix 6-A. General Design and Construction Records
- b. Appendix 6-B. Design and Construction Drawing and Specification Records
- c. Appendix 6-C. Design and Construction Project Supervision Records

2. Types of Information Materials. The materials described in this schedule may be permanent, temporary, or disposable. Definitions of these categories are found in ch. 2-10 of the GSA Records Handbook (OAD P 1820.2A).

3. Changes in disposition authority. Any record in this schedule may become the subject of a special requirement, such as a Privacy Act request (see sch. 02A115), a Freedom of Information Act request (see sch. 02A140), or a special hold due to a court order or investigation. These special requirements may extend the retention period stated in this schedule.

4. Record media. This schedule is media-neutral.

a. Offices may maintain and dispose of the temporary and disposable records described in this schedule in both paper and electronic form. Permanent records stored electronically must meet the requirements stated in Chapter 4 of the GSA Records Handbook before the National Archives can accept them.

b. The terms "document" and "information," when used in this schedule, apply equally to electronic, paper, and microfilm records.

c. When temporary or disposable paper, microfilm, or electronic records are produced from a data base, the data base and any documentation needed to use it must be scheduled in Schedule 4, Appendix D.

d. The records described in this schedule may be converted to microfilm and the original paper records destroyed provided that the filming meets requirements listed in Chapter 4 of the GSA Records Handbook.

e. Electronic copies used to create paper records may be deleted as soon as the record copy is verified.

This appendix provides documentation, maintenance, and disposition instructions for files relating to general design and construction (D&C) functions. For the purpose of this appendix, the term "general D&C" applies to design and construction matters in general and to files accumulated by committee, panels, and special groups established to review, evaluate, advise on, and report on, architect-engineer (AE) qualifications and services, and project priorities. It also applies to files documenting the control of Great Seals and document exhibit cases, construction material and equipment research, and similar matters which, because of their general nature, cannot logically be filed with records described in other appendixes of this schedule.

<u>RECORD SYMBOL</u>	<u>DESCRIPTION OF RECORD</u>	<u>AUTHORIZED DISPOSITION</u>
06A001	<b>Design and construction general correspondence</b> ( - - ). Correspondence relating to general construction management matters which cannot be filed with the more specific files described in this schedule. Use this paragraph instead of subpar. 01B002.	
	a. Central offices.	Temporary. Cut off at end of fiscal year; hold 2 years and retire to FRC. Destroy 9 years after cutoff.
	b. Other offices.	Temporary. Cut off at the end of the fiscal year; destroy 2 years after cutoff.
06A002• 06A003	<b>Reserved.</b>	
06A004.	<b>Design and construction project planning records</b> ( - - ). Documents accumulated during the preliminary planning and programming of potential projects. Included are site surveys, prospectuses, feasibility studies, sketches, preauthorization estimates, and related records. Upon authorization of a project, the material in this file which is relevant to the project shall be transferred to the design concept drawings file, 06B001.	Upon authorization of project, transfer to 06B001; destroy irrelevant records.
06A005.	<b>PBS Project Review Committee Records (NN• 171-42).</b> Documents accumulated in reviewing and advising on construction and alteration program progress and projects, including project schedules and priorities. Included are records of committee meetings, PBS Agenda Staff meetings, copies of recommendations and evaluations, reports, and related records.	

<u>RECORD SYMBOL</u>	<u>DESCRIPTION OF RECORD</u>	<u>AUTHORIZED DISPOSITION</u>
	a. Committee chairmen's files.	Permanent. Cut off at the end of fiscal year; hold 5 years and retire to FRC. Transfer to NARA 10 years after cutoff.
	b. Other member's files.	Disposable. Destroy when no longer needed.
06A006• 06A014.	<b>Reserved.</b>	
06A015.	<b>AE Evaluation and Deficiency Committee (NN-171-42).</b> Documents accumulated in evaluating the professional qualifications, reputations, and registrations of candidates; and in collecting and reporting information about, and submitting recommendations for selecting architects and engineers for construction projects, and recommending remedies for deficiencies in designs, drawings, specifications, contract awards, and project supervision; exclusive of copies required for filing in the professional services contract files, par. 42B10. Included are deficiency and visit reports, reports of AE negligence; and committee minutes, source selection panel records, and related papers.	Temporary. Remove and file in inactive file following completion of final action on the deficiency. Cut off inactive records at end of fiscal year; hold 2 years, and retire to FRC. Destroy 4 years after cutoff.
06A016• 06A029.	<b>Reserved.</b>	
06A030.	<b>Design and Construction Research Records (NN-171-42).</b> Documents accumulated in conducting , coordinating, and monitoring research on construction methods, materials, and equipment; engineering technology; and trends in architectural design. These research results are used in updating PBS guide specifications, design data, standard drawings, and technical handbooks. Included are studies, analyses, and reports; brochures and technical literature; and similar documents	
	a. Record copies of reports of research conducted or contracted for by Design and Construction.	Permanent. Cut off at the end of fiscal year; hold 2 years, and retire to FRC. Transfer to NARA 10 years after cutoff.
	b. Reports prepared by other agencies and commercial concerns, duplicate copies of reports of research conducted or contracted for by D&C, brochures and trade publications, and similar technical documents.	Disposable. Destroy when superseded or obsolete.
	c. Other papers	Temporary. Cut off at the end of fiscal year; hold 2 years, and



<u>RECORD SYMBOL</u>	<u>DESCRIPTION OF RECORD</u>	<u>AUTHORIZED DISPOSITION</u>
		destroy.
06A031• 06A034.	<b>Reserved.</b>	
06A035.	<b>Fixed equipment inspection records (NN-171• 42).</b> Inspection reports and related documents reflecting the inspection of elevators, escalators, and dumbwaiters; pneumatic systems; boilers; pressure valves; high voltage electrical switchgear; and similar fixed equipment.	Temporary. Cut off at the end of fiscal year; hold 2 years, and destroy, except that reports having potential research value may be retained until no longer needed.
06A036• 06A039.	<b>Reserved.</b>	
06A040.	<b>Building general records ( - - ).</b> Documents accumulated by regional Design and Construction Divisions that relate generally to individual building, but not documents pertaining to specific construction, contract projects or other documents described elsewhere in this schedule.	Transfer to NARA for determination of continued historical value.  NOTE: Copies may be transferred to new nongovernmental owner or custodian on request. Temporary. Destroy when building is sold, traded, donated or demolished.

This appendix provides maintenance and disposition instructions for drawing and specification files used in the design and construction of Federal buildings. For the purpose of this appendix the term "construction" is defined to include construction of new buildings; extension, remodeling, conversion, alteration, and repair of Government-owned or operated buildings; and associated work related to equipment and grounds.

<u>RECORD SYMBOL</u>	<u>DESCRIPTION OF RECORD</u>	<u>AUTHORIZED DISPOSITION</u>
06B001	<b>Design concept drawings (NN-173-42).</b> Reproducible drawings depicting site plans; floor and roof plans; elevations; transverse and longitudinal sections; basic designs; circulation areas; entrances; stairways; elevators, if any, space assignments; mechanical and electrical equipment spaces; rest rooms; stacks; wire closets; column locations; grades; and story heights.	Temporary. Place in inactive file following completion of construction contract or when contract is terminated. Cut off inactive file at the end of fiscal year, hold 2 years, and retire to FRC. Destroy 10 years after cutoff.
06B002-06B004.	<b>Reserved.</b>	
06B005.	<b>Tentative drawings (NN-173-42).</b> Drawings which expand the diagrammatics into the initial comprehensive presentation of the basic design. These drawings identify rooms and spaces; special space requirements; unusual mechanical, electrical, or structural needs; floor dimensions; ceiling heights; details of exterior walls; and similar data.	Temporary. Place in inactive file following completion of construction contract or when contract is terminated. Cut off inactive file at the end of fiscal year, hold 2 years, and retire to FRC. Destroy 10 years after cutoff.
06B006-06B009.	<b>Reserved.</b>	
06B010.	<b>Design data (NN-173-42).</b> Drawings prepared for use in developing project drawings and in communicating project design requirements for bid and contract documents. Included are design and data drawings and documents created in their preparation.	Disposable. Destroy when no longer needed.
06B011-06B014.	<b>Reserved.</b>	
06B015.	<b>Standard detail drawings (NN-173-42).</b> Drawings reflecting standard design requirements for use in developing contract plans and specifications. Copies of these drawings may supplement or become part of the bid or contract documents. Included are standard detail drawings and documents created in their preparation.	Disposable. Destroy when no longer needed.
06B016-06B029.	<b>Reserved.</b>	
06B030.	<b>Original and as built drawings, project specifications, change orders and visual</b>	

RECORD  
SYMBOL

DESCRIPTION OF RECORD

AUTHORIZED DISPOSITION

**documentation.** Record sets of architectural and engineering drawings, including master tracings and acceptable reproduces relating to design and construction of Federal Buildings; and specifications prepared for specific construction, extensions, conversion, remodeling, repair, and improvement projects. Specifications describe material requirements for the project and prescribe the materials and manufactured items depicted on the related drawings. Records include bound sets of blueprints for construction of and changes to buildings.

a. **Original and as built drawings, project specifications, change orders and visual documentation (N1-121-90-2).** Drawings and specifications of all buildings EXCEPT: warehouses, parking garages, machine shops, outbuildings used for storage and maintenance equipment, and guard sheds constructed after 1950.

(1) Drawings and specifications that have not been microfilmed or otherwise duplicated.

Permanent. Place in inactive file on completion of building sale, donations or demolition. Cut off inactive file at end of fiscal year and retire to FRC. Transfer to NARA 10 years after cutoff.

(2) Drawings and specifications that have been microfilmed or otherwise duplicated.

Permanent. Transfer to NARA after microfilmed or duplicate copy has been verified.

NOTE: These original drawings and specifications are permanent records and may not be transferred to new, non-Government owners of buildings. Provide copies to new owners on request.

b. **Original and as built drawings, project specifications, change orders and visual documentation (N1-121-90-2).** Drawings and specifications of warehouses, parking garages, machine shops, outbuildings used for storage and maintenance equipment, and guard sheds constructed after 1950.

Temporary. Place in inactive file on completion of building's sale, trade, donation or demolition. Cut off at end of fiscal year. Destroy when no longer needed.

NOTE: These drawings may be transferred to new, nongovernmental owners of buildings on request.

<u>RECORD SYMBOL</u>	<u>DESCRIPTION OF RECORD</u>	<u>AUTHORIZED DISPOSITION</u>
	c. <b>Original and as built drawings, project specifications, change orders and visual (GRS 17/4).</b> Blueprints of electrical, plumbing, heating or air conditioning systems.	Disposable. Destroy when superseded or no longer needed for administrative purposes.
06B031• 06B049.	<b>Reserved.</b>	
06B050.	<b>Shop drawing controls (NN-173-42).</b> GSA Forms 2400, Shop Drawing Record, comparable forms, letters to contractors, and related documents reflecting the drawings submitted, approved, disapproved, and resubmitted for each project.	Temporary. Cut off at completion of construction contract; hold 3 years and retire to FRC. Destroy 8 years after cutoff.
06B051• 06B054.	<b>Reserved.</b>	
06B055.	<b>Shop drawings (NN-173-42).</b> Architectural, structural, and mechanical or electrical drawings prepared by manufacturers of products to be made or assembled in their shops. They are also prepared as guides for assembling products at the job site.	Temporary. Cut off at completion of construction contract; hold 3 years and retire to FRC. Destroy 8 years after cutoff.
06B056• 06B059.	<b>Reserved.</b>	
06B060.	<b>Outline floor plans (NN-173-42).</b> Drawings depicting skeleton floor plans for buildings and building improvement, alteration, extension, and conversion projects which are for use in the assignment of space. Included are plastic reproduces and reproduced plans, including other plans and sketches created in their preparation.	
	a. Reproduces.	Disposable. Destroy when superseded or when building is sold, traded, or demolished.
	b. Plans and sketches used in preparation of reproduces.	Disposable. Destroy after the reproduces are approved.
	c. Reproduced plans.	Disposable. Destroy when no longer needed.
06B061• 06B064.	<b>Reserved.</b>	

<u>RECORD SYMBOL</u>	<u>DESCRIPTION OF RECORD</u>	<u>AUTHORIZED DISPOSITION</u>
06B065.	<b>Guide and standard specifications (NN-173-42).</b> Documents relating to the preparation, coordination, and issue of guide and standard specifications governing basic requirements and quality standards for the selection and use of construction material and equipment. Included are copies of the issued guide and standard specifications and related documents.	Disposable. Destroy when no longer needed.

This appendix provides maintenance and disposition instructions for drawings, specifications, computations, and other technical/project files which are used in supervising the design and construction of Federal buildings. This reference source is used in planning and designing future projects. For the purpose of this appendix, the term "construction" is defined to include construction of new buildings; extension, remodeling, conversion, alteration, and repair of Government-owned or operated buildings; and associated work related to equipment and grounds.

<u>RECORD SYMBOL</u>	<u>DESCRIPTION OF RECORD</u>	<u>AUTHORIZED DISPOSITION</u>
06C001	<p><b>Project control schedule records (NN-173-42).</b> Documents accumulated in scheduling and reporting progress on construction projects. These records are accumulated by schedule and control representatives and offices generating feeder information. This paragraph is not applicable to records described in sch. 5.</p> <p>a. Schedule and control representatives' files.</p> <p>b. Other office files.</p>	<p>Temporary. Place in inactive file following completion of project. Cut off inactive file in 5-year blocks and retire to FRC. Destroy 10 years after cutoff.</p> <p>Disposable. Destroy when no longer needed.</p>
06C002• 06C004.	<b>Reserved.</b>	
06C005.	<p><b>D&amp;C project records (NN-173-42).</b> Documents accumulated in planning, designing, and supervising the construction, conversion, extension, remodeling, alteration, and repair of buildings and grounds. Included are preconstruction conference reports, change estimates and orders, specification clarifications, drawing approvals and rejections, inspection reports, and documents in correlated records requirements for, authorizing contracts for supply of, and the ordering of, Great Seals of the United States and historical document exhibit cases, regional requirements, contract authorizations (to FSS), copies of contracts, sets of seals, and related records.</p>	<p>Temporary. Cut off at the end of fiscal year; hold 2 years, and retire to FRC. Destroy 10 years after cutoff.</p>
06C006• 06C009.	<b>Reserved.</b>	

<u>RECORD SYMBOL</u>	<u>DESCRIPTION OF RECORD</u>	<u>AUTHORIZED DISPOSITION</u>
06C010.	<b>Project cost estimates records (NC-173-42).</b> Documents accumulated in preparing and reviewing cost estimates for proposed projects and for authorized building design, construction, modification, remodeling, and lease restoration projects. Included are preauthorization estimates, project feasibility confirmations, sketches, detailed estimates, and related records.	Temporary. Remove and file in inactive file following completion of contract by acceptance of all work and material, termination of the contract, or disapproval of the project. Cut off at end of fiscal year, hold 3 years and retire to FRC. Destroy 10 years after cutoff. Earlier retirement is authorized.
06C011-06C024.	<b>Reserved.</b>	
06C025.	<b>Structural project records ( - - ).</b> Records containing structural engineering data related to existing and proposed Federal buildings. Included are foundation investigation reports, soil tests and boring data, drawings and topographical survey reports, details of building approaches and landscaping; and electrical, mechanical, air conditioning, and elevator details, site survey reports, construction data, correspondence, and related records.	Temporary. Destroy when building is sold, traded, donated or demolished. If requested, acceptable copies may be made and turned over to the new owner or custodian. The records shall be offered to the National Archives and Records Administration for determination of continued historical value.
06C026-06C029.	<b>Reserved.</b>	
06B030.	<b>Structural computations (NN-171-42).</b> Documents, prepared manually or by computer, tapes, or microforms showing summaries of engineering computation for structural framings and foundations, including design loadings and assumptions, design techniques, unit loadings, summaries of estimated cost details abstracted from other records and used for reference during project construction, and related materials.	Temporary. Place in inactive file when contract is completed, hold 2 years, and retire to FRC. Destroy when building is sold, traded, donated, or demolished; transfer to new owner or custodian if requested.
06C031-06C034.	<b>Reserved.</b>	
06C035.	<b>Mechanical and electrical computations (NN-171-42).</b> Documents prepared manually or by computer showing engineering computations for the various mechanical and electrical systems in the building, including heating and air-conditioning loads, electrical connection loads, electrical maximum demands, incoming electrical services, illumination levels, plumbing loads, and elevator requirements.	Temporary. Place in inactive file when contract is completed, hold 2 years, and retire to FRC. Destroy when building is sold, traded, donated, or demolished; transfer to new owner or custodian if requested.
06C036-06C039.	<b>Reserved.</b>	

<u>RECORD SYMBOL</u>	<u>DESCRIPTION OF RECORD</u>	<u>AUTHORIZED DISPOSITION</u>
06C040.	<p><b>Construction progress photographs (NN-171-42).</b> Photographs taken during construction, extension, and alteration to show various degrees of progress being made on a project.</p> <p>a. Record set.</p> <p>b. Other copies.</p>	<p>Permanent. Place in inactive file when contract is completed. Cut off inactive file in 5-year blocks, hold 5 years, and retire to FRC. Transfer to NARA 10 years after cutoff.</p> <p>Disposable. Destroy when no longer needed.</p>
06C041• 06C044.	<b>Reserved.</b>	
06C045.	<p><b>Final construction photographs (NN-171-42).</b> Photographs of completed projects accumulated for historical purposes.</p> <p>a. Record set.</p> <p>b. Other copies.</p>	<p>Permanent. Cut off in 5-year blocks, hold 5 years, and retire to FRC. Transfer to NARA 10 years after cutoff.</p> <p>Disposable. Destroy when no longer needed.</p>
06C046.	<p><b>Construction engineer and branch records (NN-173-42).</b> Copies of documents showing actions taken from initiation to completion of a construction project. The subparagraphs below indicate representative examples of documents included in, provide some maintenance instructions for, and collectively constitute a guide for the subdivision of, construction engineer and branch files.</p> <p>Subsections under j and m correspond to the contract specification index.</p> <p>a. Administration.</p> <p>b. Funds.</p> <p>c. Payments to contractor.</p> <p>d. Equal employment opportunity (EEO).</p> <p>e. General correspondence.</p>	<p>Temporary. Destroy on completion of contract by acceptance of all work and material or on termination of the contract except that shop drawings shall be turned over to the buildings manager.</p>



RECORD  
SYMBOL

DESCRIPTION OF RECORD

AUTHORIZED DISPOSITION

- f. Using agency correspondence.
- g. Safety.
- h. Purchase order, etc.
- i. Contract documents.
- j. Technical matters:
  - C2-0330 - Concrete (structural),
  - C2-0344 - (subnumbers correspond to contract index),
  - C2-0420 - Masonry.
- k. Beneficial occupancy, turnover, guarantee.
- l. Meetings.
- m. Shop drawings:
  - C5-0330 - Concrete (structural),
  - C5-0344 - (subnumbered files generally used by CE, only),
  - C5-0420 - Masonry.
- n. Samples.
- o. Change orders, including related correspondence (Establish a separate file folder for each CE number or change order).
- p. Requests for proposals.
- q. Inspections.
- r. Diaries.
- s. Progress (progress meetings).
- t. Critical path method (CPM).
- u. Photographs.
- v. Reports to higher authority.

## GSA Responses in RED

1. The Old GSA Numbers listed in the crosswalk do not match the GSA item numbers listed in some of the original SF-115s. Please address the reason for the difference.

GSA established a record schedule with numbers in 76 different categories accumulated variously in the 1950s, 60s and 70s. The GSA numbers were renumbered in 1982, again in 1985, and finally in 1992 and reclassified in the file plan (OAD 1820) using the same format as the previous numbering format. Nothing was changed in the original SF 115s to reflect changes in those numbers. Hence, SF 115s submitted in 1974 follow one numbering system, an SF 115 in 1982 for the same record types followed a different numbering system, and so on. The documentation for these first two numbering changes (and a reliable crosswalk) disappeared from GSA in July, 1985, when the NARS service split off from GSA and became NARA. Research by previous NARA appraisers yielded no documentation of the change numbering system, so GSA was advised to use the current numbering system on currently active records in 2014, when this schedule was originally proposed.

In the interest of clarity for research purposes, GSA has revised the numbers listed in the attached crosswalk to reflect the originally scheduled numbers in the disposition authority citation, using the format suggested in item #5 of this document. Additionally, items that have been rescinded (no longer are in the current file plan or needed by GSA) or have been superseded by GRS have been added to give a full accounting for all previously scheduled record types.

Additionally, the series description for 269.4/010 (Item - 0001) lists records that are not scheduled under the SF-115 items on the crosswalk, including significant audit reports and significant inspection case files. Please add lines to the crosswalk to cover each series of records under this item.

See response to #2 regarding this matter.

2. Please determine whether significant audit files are currently scheduled as temporary under N1-269-99-001 / 03A025A. If so, please justify the temporary to permanent disposition change in your appraisal report.

Permanent records are those that NARA appraises as having sufficient value to warrant continued preservation by the Federal Government as part of the National Archives of the United States.

The OIG believes that there is occasionally a limited subset of records of audit or inspection case files that contains information of significant historical value and interest, due to its importance to lawmakers and the media and its impact on policy makers and

senior management at GSA. These two new types of records (Significant Audit Case Files and Significant Inspection Case files) are being scheduled within the proposed "Significant Case Files" bucket rather than create new record types for these records.

Audit and inspection case files of a "standard nature" (in other words, those records that do not meet the definition of "significant" in the proposed record type description), will be placed as temporary records under DAA 0269-2015-0002-0004.

3. No volume or date span is provided on the schedule for the permanent item DAA-0269-2015-0002-0001. The NARA Textual Records Division requires information on volume and date span for all permanent textual items.

GSA anticipates an estimated annual load of 1 GB / year of permanent documents for DAA-0269-2015-0002-0001 (both significant case files and semi-annual reports).

4. Please verify the superseded items and add them to the schedule. Additionally, will other items on N1-269-05-001 be superseded by this schedule? In particular, N1-269-05-001 / 6 seems like it may fit under 269.4 / 032 (Item - 0007).

Completed, and the crosswalk was updated to reflect those suggestions.

5. All superseded authorities are required to be individually listed under each applicable item. This needs to be accomplished using the follow guidelines as shown in the ERA User Handbook:

Completed.

6. Revise Schedule Subject line to read "Office of Inspector General Records (269.4)"

Completed.

7. Please delete the entire first paragraph of the Background Information section.

Completed. The following paragraph was deleted:

"The records in this schedule supersede all previously scheduled GSA records associated with the Office of Inspector General. For those record types not itemized in the crosswalk, they have been superseded by the NARA General Records Schedule as of the date of this schedule's approval."

8. Background Information: Please update as indicated.

Office of Inspector General (OIG) Records include documentary material accumulated in providing administrative, operational, legal, policy, and planning support for the Inspector General function, such as summaries, status reports, planning documents, tracking information, analyses, inventories, memoranda, correspondence, and legal

advice. Additionally, the OIG oversight functions of promoting economy, efficiency, and effectiveness, and detecting and preventing waste, fraud, and abuse, as set forth by the Inspector General Act of 1978, as amended, are captured through documentary material accumulated during audits, investigations, and inspections of GSA programs and operations. These materials fall within the following three major categories:

**Audit Records.** These records consist of audit reports and supporting documentation derived from auditing GSA's programs and operations. These records include reports and supporting documentation such as work papers, spreadsheets analyses, summaries, tables, memoranda, and related correspondence, as well as material created to administer the audit function.

**Investigative Records.** These records consist of investigative reports and supporting documentation derived from investigations alleged of fraud, abuse, irregularities, or violations of law. Cases relate to programs and operations administered or financed by GSA, including agency personnel, contractors, and others having a relationship with the agency. An investigation may result in referral for criminal prosecution, civil adjudication, or administrative action. Records include subpoenas, interview and activity reports, summaries, photographs, and electronic recordings, as well as documentation accumulated in planning and administering the investigative function.

**Inspection and Forensic Auditing Records.** These records consist of reports and supporting documentation accumulated in inspecting and using forensic auditing (multidiscipline, innovative technologies) to review agency programs and operations for potentially fraudulent, improper, wasteful, or abusive activities, as well as while performing OIG internal quality assurance operations, such as operational assessments, Federal Managers' Financial Integrity Act (FMFIA) activities, and purchase card suspicious activity queries. These records include reports and supporting documentation such as work papers, spreadsheets, analyses, summaries, tables, photographs, video recordings, interview and activity reports, memoranda, and related correspondence, as well as material created to administer the inspection and forensic auditing function.

These records may contain law enforcement sensitive, Uniform Trade Secrets Act, confidential commercial information, and/or Privacy Act information as well as materials sealed by court order.

**Completed.**

9. Delete all of the descriptive information found under the heading "269.4 Office of Inspector General Records." It repeats most of the background information and is not necessary.

Completed.

Hello Dave,

The latest round of internal review has produced the following which I have compiled for your review and revision of the schedule. The schedule has been returned for revision.

1. The Old GSA Numbers listed in the crosswalk do not match the GSA item numbers listed in some of the original SF-115s. Please address the reason for the difference. Additionally, the series description for 269.4/010 (Item - 0001) lists records that are not scheduled under the SF-115 items on the crosswalk, including significant audit reports and significant inspection case files. Please add lines to the crosswalk to cover each series of records under this item.
2. Please determine whether significant audit files are currently scheduled as temporary under N1-269-99-001 / 03A025A. If so, please justify the temporary to permanent disposition change in your appraisal report.
3. No volume or date span is provided on the schedule for the permanent item DAA-0269-2015-0002-0001. The NARA Textual Records Division requires information on volume and date span for all permanent textual items.
4. Please verify the superseded items and add them to the schedule. Additionally, will other items on N1-269-05-001 be superseded by this schedule? In particular, N1-269-05-001 / 6 seems like it may fit under 269.4 / 032 (Item - 0007).
5. All superseded authorities are required to be individually listed under each applicable item. This needs to be accomplished using the follow guidelines as shown in the ERA User Handbook:

**This item supersedes** | **Disposition Authority Number** is a repeatable field used to indicate if the item supersedes a previously approved authority and to enter the superseded authority number(s).

- Only one authority may be entered per data entry field.
- If the item supersedes multiple authorities, then use the “**Add**” function to add additional fields for data entry.
- Enter the superseded authority number using a standard format. For example:
  - “Born in ERA” superseded authority number format: DAA-0059-2010-0002-0005
  - SF 115 superseded authority number format: N1-059-83-001 / 4/B/13
  - GRS superseded authority number format: N1-GRS-87-005 / 2/B

6. Revise Schedule Subject line to read “Office of Inspector General Records (269.4)”
7. Please delete the entire first paragraph of the Background Information section.

**8. Background Information:** Please update as indicated.

Office of Inspector General (OIG) Records include documentary material accumulated in providing administrative, operational, legal, policy, and planning support for the Inspector General function, such as summaries, status reports, planning documents, tracking information, analyses, inventories, memoranda, correspondence, and legal advice. Additionally, the OIG oversight functions of promoting economy, efficiency, and effectiveness, and detecting and preventing waste, fraud, and abuse, as set forth by the Inspector General Act of 1978, as amended, are captured through documentary material accumulated during audits, investigations, and inspections of GSA programs and operations. These materials fall within the following three major categories:

**Audit Records.** These records consist of audit reports and supporting documentation derived from auditing GSA's programs and operations. These records include reports and supporting documentation such as work papers, spreadsheets, analyses, summaries, tables, memoranda, and related correspondence, as well as material created to administer the audit function.

**Investigative Records.** These records consist of investigative reports and supporting documentation derived from investigations alleged of fraud, abuse, irregularities, or violations of law. Cases relate to programs and operations administered or financed by GSA, including agency personnel, contractors, and others having a relationship with the agency. An investigation may result in referral for criminal prosecution, civil adjudication, or administrative action. Records include subpoenas, interview and activity reports, summaries, photographs, and electronic recordings, as well as documentation accumulated in planning and administering the investigative function.

**Inspection and Forensic Auditing Records.** These records consist of reports and supporting documentation accumulated in inspecting and using forensic auditing (multidiscipline, innovative technologies) to review agency programs and operations for potentially fraudulent, improper, wasteful, or abusive activities, as well as while performing OIG internal quality assurance operations, such as operational assessments, Federal Managers' Financial Integrity Act (FMFIA) activities, and purchase card suspicious activity queries. These records include reports and supporting documentation such as work papers, spreadsheets, analyses, summaries, tables, photographs, video recordings, interview and activity reports, memoranda, and related correspondence, as well as material created to administer the inspection and forensic auditing function.

These records will may contain law enforcement sensitive, Uniform Trade Secrets Act, confidential commercial information, and/or Privacy Act information as well as materials sealed by court order.

9. Delete all of the descriptive information found under the heading “269.4 Office of Inspector General Records.” It repeats most of the background information and is not necessary.



## Request for Records Disposition Authority

Records Schedule Number DAA-0269-2016-0007

Schedule Status Appraiser Working Version

Agency or Establishment General Services Administration

Record Group / Scheduling Group General Records of the General Services Administration

Records Schedule applies to Agency-wide

Schedule Subject 269.12 - Communications Records

Internal agency concurrences will be provided Yes

Background Information This group of records is concerned with the Communications Program Records not covered by the General Records Schedules. These program records deal with the record copies of prepared communications; internal and public, events such as conferences and symposiums, and routine communications program management files. This group does not include training records of individual employees, routine email records, or other informal means of communications used by all agency staff. This group supersedes all previously-scheduled GSA record types, where not superseded by the General Records Schedules.

### Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
4	1	3	0

GAO Approval

## Outline of Records Schedule Items for DAA-0269-2016-0007

Sequence Number	
1	010 – Significant Prepared Communications Records Disposition Authority Number: DAA-0269-2016-0007-0001
2	011 – Other Prepared Communications Records Disposition Authority Number: DAA-0269-2016-0007-0002
3	021 – Events Records Disposition Authority Number: DAA-0269-2016-0007-0003
4	031 – Communications Program Management Records Disposition Authority Number: DAA-0269-2016-0007-0004

## Records Schedule Items

Sequence Number	
1	<p data-bbox="345 380 1094 411"><b>010 – Significant Prepared Communications Records</b></p> <p data-bbox="345 432 1149 464">Disposition Authority Number      <b>DAA-0269-2016-0007-0001</b></p> <p data-bbox="345 485 1505 716">Speeches and communications by Heads of Staff and Service Offices (HSSOs) as well as the Administrator’s office, biographies of Administrator, Regional Administrators, HSSOs, and Commissioners; record copies of press releases and news articles issued from GSA Central and Regional Offices; and record copies of newsletters, either targeted at all of GSA, regional or business line personnel, or GSA clients and related records.</p> <p data-bbox="345 737 919 768">Final Disposition                      <b>Permanent</b></p> <p data-bbox="345 789 878 821">Item Status                              <b>Pending</b></p> <p data-bbox="345 842 818 873">Is this item media neutral?           <b>Yes</b></p> <p data-bbox="345 894 802 1020">Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?      <b>No</b></p> <p data-bbox="345 1041 1149 1188">GRS or Superseded Authority Citation      <b>NC1-269-80-012 / 20A1/a/1 NC1-269-80-012 / 20A10/a NC1-269-80-012 / 20A25/a NC1-269-80-012 / 20A35/a</b></p> <p data-bbox="345 1230 659 1262"><b>Disposition Instruction</b></p> <p data-bbox="345 1283 1442 1314">Cutoff Instruction                      <b>Cut off at the end of the fiscal year when issued.</b></p> <p data-bbox="345 1335 1312 1398">Transfer to the National Archives for Accessioning      <b>Transfer to NARA 15 years after cutoff.</b></p> <p data-bbox="345 1440 656 1472"><b>Additional Information</b></p> <p data-bbox="345 1493 1019 1587">What will be the date span of the initial transfer of records to the National Archives?      <b>Unknown To be determined.</b></p> <p data-bbox="345 1608 1019 1703">How frequently will your agency transfer these records to the National Archives?      <b>Unknown To be determined.</b></p>
2	<p data-bbox="345 1797 1029 1829"><b>011 – Other Prepared Communications Records</b></p> <p data-bbox="345 1850 1154 1881">Disposition Authority Number      <b>DAA-0269-2016-0007-0002</b></p>

3	Records created by persons other than the Administrator, Regional Administrators, HSSOs, and Commissioners. Included are record copies of the prepared speeches, interviews, biographies, press releases, and related records.	
	Final Disposition	Temporary
	Item Status	Pending
	Is this item media neutral?	Yes
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	No
	GRS or Superseded Authority Citation	NC1-269-84-003 / 28A60
	Disposition Instruction	
	Cutoff Instruction	Cut off at the end of the fiscal year in which issued.
	Retention Period	Destroy 6 years after cutoff.
	Additional Information	
	GAO Approval	Not Required
	021 – Events Records	
	Disposition Authority Number	DAA-0269-2016-0007-0003
	Records of award ceremonies, dedications, GSA-sponsored symposia and conferences. Included are invitations, guest lists and rosters, agendas, documents related to presentations, copies of speeches, administrative arrangements for the event, and related records.	
	Final Disposition	Temporary
	Item Status	Pending
	Is this item media neutral?	Yes
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	No
	GRS or Superseded Authority Citation	NC1-269-80-012 / 20A20 NC1-269-81-004 / 18D5 DAA-GRS-2016-0005-0001
	Disposition Instruction	
	Cutoff Instruction	Cut off at the end of the fiscal year when final payment is made.

4	Retention Period	Destroy 3 years after cutoff but longer retention is authorized if needed for business or reference purposes.
	Additional Information	
	GAO Approval	Not Required
	<b>031 – Communications Program Management Records</b>	
	Disposition Authority Number	DAA-0269-2016-0007-0004
	Records created in the course of developing communications and managing graphics, letterhead, and related activities. Included in this series are letterhead case files, drafts, clearance review copies, supporting materials used in the creation of prepared communications, correspondence, and related records.	
	Final Disposition	Temporary
	Item Status	Pending
	Is this item media neutral?	Yes
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	No
	GRS or Superseded Authority Citation	1820.2A (1994) / 14A10/a/2 N1-269-89-001 / 11E10 NC1-269-80-012 / 20A1/a/2 NC1-269-80-012 / 20A10/b NC1-269-80-012 / 20A25/b DAA-GRS-2016-0005-0003
	Disposition Instruction	
	Cutoff Instruction	Cut off at the end of the fiscal year when final record is issued.
	Retention Period	Destroy 3 years after cutoff but longer retention is authorized if needed for business or reference purposes.
	Additional Information	
	GAO Approval	Not Required

## Agency Certification

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal in this schedule are not now needed for the business of the agency or will not be needed after the retention periods specified.

## Signatory Information

Date	Action	By	Title	Organization
05/11/2016	Certify	Robert Smudde	National Records Of ficer	Office of the Chief Information Officer - Office of Policy and Compliance
06/27/2016	Return for Revisio n	Galen Wilson	Senior Appraisal Arc hivist	National Archives and Records Administration - Records Management Services
06/28/2016	Submit For Certific ation	Robert Smudde	National Records Of ficer	Office of the Chief Information Officer - Office of Policy and Compliance
06/29/2016	Certify	Robert Smudde	National Records Of ficer	Office of the Chief Information Officer - Office of Policy and Compliance
10/28/2016	Return for Revisio n	Lloyd Beers	Appraisal Archivist	National Archives and Records Administration - ACNR Records Management Services
10/31/2016	Submit For Certific ation	David Simmons	Knowledge Manage ment Specialist	Public Buildings Service - All os Region 5 GSA
11/07/2016	Certify	Robert Smudde	National Records Of ficer	Office of the Chief Information Officer - Office of Policy and Compliance

## Executive Summary

### Summary

Permanent Item Numbers 0001

Federal Register Notice

Publication Date

Copies Requested 0

Comments Received 0

# Executive Order -- Improving Critical Infrastructure Cybersecurity

EXECUTIVE ORDER

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IMPROVING CRITICAL INFRASTRUCTURE CYBERSECURITY

By the authority vested in me as President by the Constitution and the laws of the United States of America, it is hereby ordered as follows:

Section 1. Policy. Repeated cyber intrusions into critical infrastructure demonstrate the need for improved cybersecurity. The cyber threat to critical infrastructure continues to grow and represents one of the most serious national security challenges we must confront. The national and economic security of the United States depends on the reliable functioning of the Nation's critical infrastructure in the face of such threats. It is the policy of the United States to enhance the security and resilience of the Nation's critical infrastructure and to maintain a cyber environment that encourages efficiency, innovation, and economic prosperity while promoting safety, security, business confidentiality, privacy, and civil liberties. We can achieve these goals through a partnership with the owners and operators of critical infrastructure to improve cybersecurity information sharing and collaboratively develop and implement risk-based standards.

Sec. 2. Critical Infrastructure. As used in this order, the term critical infrastructure means systems and assets, whether physical or virtual, so vital to the United States that the incapacity or destruction of such systems and assets would have a debilitating impact on security, national economic security, national public health or safety, or any combination of those matters.

Sec. 3. Policy Coordination. Policy coordination, guidance, dispute resolution, and periodic in-progress reviews for the functions and programs described and assigned herein shall be provided through the interagency process established in Presidential Policy Directive-1 of February 13, 2009 (Organization of the National Security Council System), or any successor.

Sec. 4. Cybersecurity Information Sharing. (a) It is the policy of the United States Government to increase the volume, timeliness, and quality of cyber threat information shared with U.S. private sector entities so that these entities may better protect and defend themselves against cyber threats. Within 120 days of the date of this order, the Attorney General, the Secretary of Homeland Security (the "Secretary"), and the Director of National Intelligence shall each issue instructions consistent with their authorities and with the requirements of section 12(c) of this order to ensure the timely production of unclassified reports of cyber threats to the U.S. homeland that identify a specific targeted entity. The instructions shall address the need to protect intelligence and law enforcement sources, methods, operations, and investigations.

(b) The Secretary and the Attorney General, in coordination with the Director of National Intelligence, shall establish a process that rapidly disseminates the reports produced pursuant to section 4(a) of this order to the targeted entity. Such process shall also, consistent with the need to protect national security information, include the dissemination of classified reports to critical infrastructure entities authorized to receive them. The Secretary and the Attorney General, in coordination with the Director of National Intelligence, shall establish a system for tracking the production, dissemination, and disposition of these reports.



(c) To assist the owners and operators of critical infrastructure in protecting their systems from unauthorized access, exploitation, or harm, the Secretary, consistent with 6 U.S.C. 143 and in collaboration with the Secretary of Defense, shall, within 120 days of the date of this order, establish procedures to expand the Enhanced Cybersecurity Services program to all critical infrastructure sectors. This voluntary information sharing program will provide classified cyber threat and technical information from the Government to eligible critical infrastructure companies or commercial service providers that offer security services to critical infrastructure.

(d) The Secretary, as the Executive Agent for the Classified National Security Information Program created under Executive Order 13549 of August 18, 2010 (Classified National Security Information Program for State, Local, Tribal, and Private Sector Entities), shall expedite the processing of security clearances to appropriate personnel employed by critical infrastructure owners and operators, prioritizing the critical infrastructure identified in section 9 of this order.

(e) In order to maximize the utility of cyber threat information sharing with the private sector, the Secretary shall expand the use of programs that bring private sector subject-matter experts into Federal service on a temporary basis. These subject matter experts should provide advice regarding the content, structure, and types of information most useful to critical infrastructure owners and operators in reducing and mitigating cyber risks.

Sec. 5. Privacy and Civil Liberties Protections. (a) Agencies shall coordinate their activities under this order with their senior agency officials for privacy and civil liberties and ensure that privacy and civil liberties protections are incorporated into such activities. Such protections shall be based upon the Fair Information Practice Principles and other privacy and civil liberties policies, principles, and frameworks as they apply to each agency's activities.

(b) The Chief Privacy Officer and the Officer for Civil Rights and Civil Liberties of the Department of Homeland Security (DHS) shall assess the privacy and civil liberties risks of the functions and programs undertaken by DHS as called for in this order and shall recommend to the Secretary ways to minimize or mitigate such risks, in a publicly available report, to be released within 1 year of the date of this order. Senior agency privacy and civil liberties officials for other agencies engaged in activities under this order shall conduct assessments of their agency activities and provide those assessments to DHS for consideration and inclusion in the report. The report shall be reviewed on an annual basis and revised as necessary. The report may contain a classified annex if necessary. Assessments shall include evaluation of activities against the Fair Information Practice Principles and other applicable privacy and civil liberties policies, principles, and frameworks. Agencies shall consider the assessments and recommendations of the report in implementing privacy and civil liberties protections for agency activities.

(c) In producing the report required under subsection (b) of this section, the Chief Privacy Officer and the Officer for Civil Rights and Civil Liberties of DHS shall consult with the Privacy and Civil Liberties Oversight Board and coordinate with the Office of Management and Budget (OMB).

(d) Information submitted voluntarily in accordance with 6 U.S.C. 133 by private entities under this order shall be protected from disclosure to the fullest extent permitted by law.

Sec. 6. Consultative Process. The Secretary shall establish a consultative process to coordinate improvements to the cybersecurity of critical infrastructure. As part of the consultative process, the Secretary shall engage and consider the advice, on matters set forth in this order, of the Critical Infrastructure Partnership Advisory Council; Sector Coordinating Councils; critical infrastructure owners and operators; Sector-Specific Agencies; other relevant agencies; independent regulatory agencies; State, local, territorial, and tribal governments; universities; and outside experts.

Sec. 7. Baseline Framework to Reduce Cyber Risk to Critical Infrastructure. (a) The Secretary of Commerce shall direct the Director of the National Institute of Standards and Technology (the "Director")

to lead the development of a framework to reduce cyber risks to critical infrastructure (the "Cybersecurity Framework"). The Cybersecurity Framework shall include a set of standards, methodologies, procedures, and processes that align policy, business, and technological approaches to address cyber risks. The Cybersecurity Framework shall incorporate voluntary consensus standards and industry best practices to the fullest extent possible. The Cybersecurity Framework shall be consistent with voluntary international standards when such international standards will advance the objectives of this order, and shall meet the requirements of the National Institute of Standards and Technology Act, as amended (15 U.S.C. 271 et seq.), the National Technology Transfer and Advancement Act of 1995 (Public Law 104-113), and OMB Circular A-119, as revised.

(b) The Cybersecurity Framework shall provide a prioritized, flexible, repeatable, performance-based, and cost-effective approach, including information security measures and controls, to help owners and operators of critical infrastructure identify, assess, and manage cyber risk. The Cybersecurity Framework shall focus on identifying cross-sector security standards and guidelines applicable to critical infrastructure. The Cybersecurity Framework will also identify areas for improvement that should be addressed through future collaboration with particular sectors and standards-developing organizations. To enable technical innovation and account for organizational differences, the Cybersecurity Framework will provide guidance that is technology neutral and that enables critical infrastructure sectors to benefit from a competitive market for products and services that meet the standards, methodologies, procedures, and processes developed to address cyber risks. The Cybersecurity Framework shall include guidance for measuring the performance of an entity in implementing the Cybersecurity Framework.

(c) The Cybersecurity Framework shall include methodologies to identify and mitigate impacts of the Cybersecurity Framework and associated information security measures or controls on business confidentiality, and to protect individual privacy and civil liberties.

(d) In developing the Cybersecurity Framework, the Director shall engage in an open public review and comment process. The Director shall also consult with the Secretary, the National Security Agency, Sector-Specific Agencies and other interested agencies including OMB, owners and operators of critical infrastructure, and other stakeholders through the consultative process established in section 6 of this order. The Secretary, the Director of National Intelligence, and the heads of other relevant agencies shall provide threat and vulnerability information and technical expertise to inform the development of the Cybersecurity Framework. The Secretary shall provide performance goals for the Cybersecurity Framework informed by work under section 9 of this order.

(e) Within 240 days of the date of this order, the Director shall publish a preliminary version of the Cybersecurity Framework (the "preliminary Framework"). Within 1 year of the date of this order, and after coordination with the Secretary to ensure suitability under section 8 of this order, the Director shall publish a final version of the Cybersecurity Framework (the "final Framework").

(f) Consistent with statutory responsibilities, the Director will ensure the Cybersecurity Framework and related guidance is reviewed and updated as necessary, taking into consideration technological changes, changes in cyber risks, operational feedback from owners and operators of critical infrastructure, experience from the implementation of section 8 of this order, and any other relevant factors.

Sec. 8. Voluntary Critical Infrastructure Cybersecurity Program. (a) The Secretary, in coordination with Sector-Specific Agencies, shall establish a voluntary program to support the adoption of the Cybersecurity Framework by owners and operators of critical infrastructure and any other interested entities (the "Program").

(b) Sector-Specific Agencies, in consultation with the Secretary and other interested agencies, shall coordinate with the Sector Coordinating Councils to review the Cybersecurity Framework and, if necessary, develop implementation guidance or supplemental materials to address sector-specific risks and operating environments.

(c) Sector-Specific Agencies shall report annually to the President, through the Secretary, on the extent to which owners and operators notified under section 9 of this order are participating in the Program.

(d) The Secretary shall coordinate establishment of a set of incentives designed to promote participation in the Program. Within 120 days of the date of this order, the Secretary and the Secretaries of the Treasury and Commerce each shall make recommendations separately to the President, through the Assistant to the President for Homeland Security and Counterterrorism and the Assistant to the President for Economic Affairs, that shall include analysis of the benefits and relative effectiveness of such incentives, and whether the incentives would require legislation or can be provided under existing law and authorities to participants in the Program.

(e) Within 120 days of the date of this order, the Secretary of Defense and the Administrator of General Services, in consultation with the Secretary and the Federal Acquisition Regulatory Council, shall make recommendations to the President, through the Assistant to the President for Homeland Security and Counterterrorism and the Assistant to the President for Economic Affairs, on the feasibility, security benefits, and relative merits of incorporating security standards into acquisition planning and contract administration. The report shall address what steps can be taken to harmonize and make consistent existing procurement requirements related to cybersecurity.

Sec. 9. Identification of Critical Infrastructure at Greatest Risk. (a) Within 150 days of the date of this order, the Secretary shall use a risk-based approach to identify critical infrastructure where a cybersecurity incident could reasonably result in catastrophic regional or national effects on public health or safety, economic security, or national security. In identifying critical infrastructure for this purpose, the Secretary shall use the consultative process established in section 6 of this order and draw upon the expertise of Sector-Specific Agencies. The Secretary shall apply consistent, objective criteria in identifying such critical infrastructure. The Secretary shall not identify any commercial information technology products or consumer information technology services under this section. The Secretary shall review and update the list of identified critical infrastructure under this section on an annual basis, and provide such list to the President, through the Assistant to the President for Homeland Security and Counterterrorism and the Assistant to the President for Economic Affairs.

(b) Heads of Sector-Specific Agencies and other relevant agencies shall provide the Secretary with information necessary to carry out the responsibilities under this section. The Secretary shall develop a process for other relevant stakeholders to submit information to assist in making the identifications required in subsection (a) of this section.

(c) The Secretary, in coordination with Sector-Specific Agencies, shall confidentially notify owners and operators of critical infrastructure identified under subsection (a) of this section that they have been so identified, and ensure identified owners and operators are provided the basis for the determination. The Secretary shall establish a process through which owners and operators of critical infrastructure may submit relevant information and request reconsideration of identifications under subsection (a) of this section.

Sec. 10. Adoption of Framework. (a) Agencies with responsibility for regulating the security of critical infrastructure shall engage in a consultative process with DHS, OMB, and the National Security Staff to review the preliminary Cybersecurity Framework and determine if current cybersecurity regulatory requirements are sufficient given current and projected risks. In making such determination, these agencies shall consider the identification of critical infrastructure required under section 9 of this order. Within 90 days of the publication of the preliminary Framework, these agencies shall submit a report to the President, through the Assistant to the President for Homeland Security and Counterterrorism, the Director of OMB, and the Assistant to the President for Economic Affairs, that states whether or not the agency has clear authority to establish requirements based upon the Cybersecurity Framework to sufficiently address current and projected cyber risks to critical infrastructure, the existing authorities identified, and any additional authority required.

(b) If current regulatory requirements are deemed to be insufficient, within 90 days of publication of the final Framework, agencies identified in subsection (a) of this section shall propose prioritized, risk-based, efficient, and coordinated actions, consistent with Executive Order 12866 of September 30, 1993 (Regulatory Planning and Review), Executive Order 13563 of January 18, 2011 (Improving Regulation and Regulatory Review), and Executive Order 13609 of May 1, 2012 (Promoting International Regulatory Cooperation), to mitigate cyber risk.

(c) Within 2 years after publication of the final Framework, consistent with Executive Order 13563 and Executive Order 13610 of May 10, 2012 (Identifying and Reducing Regulatory Burdens), agencies identified in subsection (a) of this section shall, in consultation with owners and operators of critical infrastructure, report to OMB on any critical infrastructure subject to ineffective, conflicting, or excessively burdensome cybersecurity requirements. This report shall describe efforts made by agencies, and make recommendations for further actions, to minimize or eliminate such requirements.

(d) The Secretary shall coordinate the provision of technical assistance to agencies identified in subsection (a) of this section on the development of their cybersecurity workforce and programs.

(e) Independent regulatory agencies with responsibility for regulating the security of critical infrastructure are encouraged to engage in a consultative process with the Secretary, relevant Sector-Specific Agencies, and other affected parties to consider prioritized actions to mitigate cyber risks for critical infrastructure consistent with their authorities.

Sec. 11. Definitions. (a) "Agency" means any authority of the United States that is an "agency" under 44 U.S.C. 3502(1), other than those considered to be independent regulatory agencies, as defined in 44 U.S.C. 3502(5).

(b) "Critical Infrastructure Partnership Advisory Council" means the council established by DHS under 6 U.S.C. 451 to facilitate effective interaction and coordination of critical infrastructure protection activities among the Federal Government; the private sector; and State, local, territorial, and tribal governments.

(c) "Fair Information Practice Principles" means the eight principles set forth in Appendix A of the National Strategy for Trusted Identities in Cyberspace.

(d) "Independent regulatory agency" has the meaning given the term in 44 U.S.C. 3502(5).

(e) "Sector Coordinating Council" means a private sector coordinating council composed of representatives of owners and operators within a particular sector of critical infrastructure established by the National Infrastructure Protection Plan or any successor.

(f) "Sector-Specific Agency" has the meaning given the term in Presidential Policy Directive-21 of February 12, 2013 (Critical Infrastructure Security and Resilience), or any successor.

Sec. 12. General Provisions. (a) This order shall be implemented consistent with applicable law and subject to the availability of appropriations. Nothing in this order shall be construed to provide an agency with authority for regulating the security of critical infrastructure in addition to or to a greater extent than the authority the agency has under existing law. Nothing in this order shall be construed to alter or limit any authority or responsibility of an agency under existing law.

(b) Nothing in this order shall be construed to impair or otherwise affect the functions of the Director of OMB relating to budgetary, administrative, or legislative proposals.

(c) All actions taken pursuant to this order shall be consistent with requirements and authorities to protect intelligence and law enforcement sources and methods. Nothing in this order shall be interpreted to

supersede measures established under authority of law to protect the security and integrity of specific activities and associations that are in direct support of intelligence and law enforcement operations.

(d) This order shall be implemented consistent with U.S. international obligations.

(e) This order is not intended to, and does not, create any right or benefit, substantive or procedural, enforceable at law or in equity by any party against the United States, its departments, agencies, or entities, its officers, employees, or agents, or any other person.

5/27/2016

ODC File Inventory (2nd Floor only)

(does not include west side of Room 2021 where Small Projects R&A files may be located)

NOTE:

Assumptions

70% of the files are probably past the temporary storage requirement date.

30% of files are probably considered permanent storage with archiving required

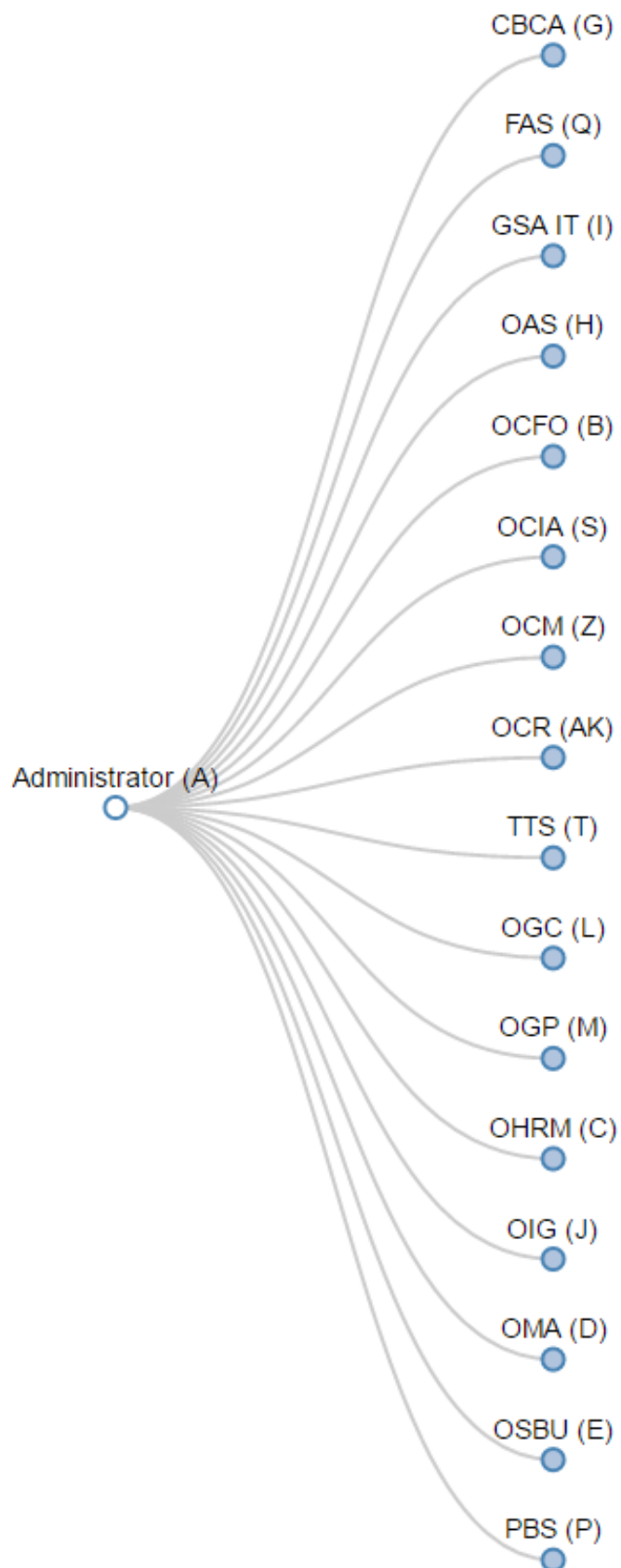
All project files not archived will be shredded as SBU - coordinate with the ROB BM

One drawer is the equivalent of 3 archive sized boxes

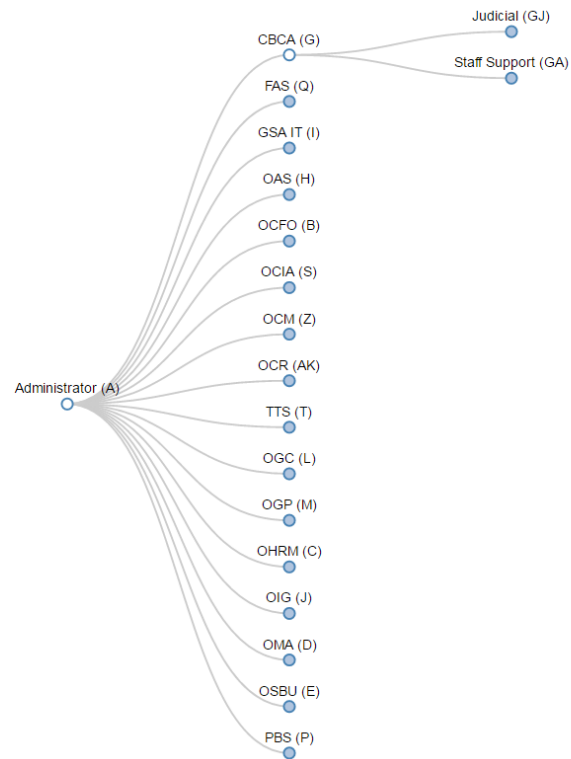
Unknown at this time how much of the drawings (flat and rolled) will be archived or shredded

Room	Project	POCs	Drawers	Boxes	Drawings	NOTES
2110	Clara Barton DOI HQ	Hudson M Banks	1 3			
2114	ATF HQ SEFC ROB Switzer Miscellaneous	Hamilton B Banks White Crowley ---	4 4 1 5	6		
				6	4	
2120	HH Hoover Courts	Hammoudeh	4	18 6	8	
2130	Tax Court Bostetter Court Markey AFRH Miscellaneous	Massey Massey  Hamilton ---	1 1 2			
				20 10	3 4	
2021 - Row 1	ATF HQ ATF HQ - 2x locked rooms AFRH FDA ROB Miscellaneous	Hamilton Hamilton Hamilton Lee White ---	10   16			
				30 1 8	30 5 4 2	1 full room, 1 partial room (estimated)
2021 - Row 2	HOTD 1 1800 F Supreme Court Census USSS Rowley Eisenhower Memorial Cubicle - ?	White Smith/Hassinger ? Bhargava Smith  Fred Clements	5 8 2 1 1 1			
				4		
2021 - Row 3	Cubicle - Census Cubicle - NOAA NAC Miscellaneous	Bhargava Bhargava Brown ---		42 20 30 8		
					12	marked as ready for archiving marked as ready for archiving
2021 - Row 4	OPDQ Historic Preservation Files					
2021 - Row 5	FDA Room - Census Room - IRS Room - WWII Memorial Room - SEFC	Lee Bhargava Bhargava ? B Banks	3			
				24 6 8 12		
					4	
Connecting Corridor	Smithsonian R&A Small Projects PG CH USSS Rowley	--- Schall Smith Smith	5 6 6 2			
			92	259	76	
drawers = 3 equivalent boxes			3			
			276			
Total Box Equivalent			535	= 276 + 259		
less boxes marked ready for archiving			62			
total			473			
estimate 30% of files will go to Archives			30%			
			141.9			
add back in			62			
estimated boxes for Archiving			203.9			
approximate total of boxes for Archiving			200 boxes			

## General Services Administration – Service and Staff Office Level



# General Services Administration – Service and Staff Office Level

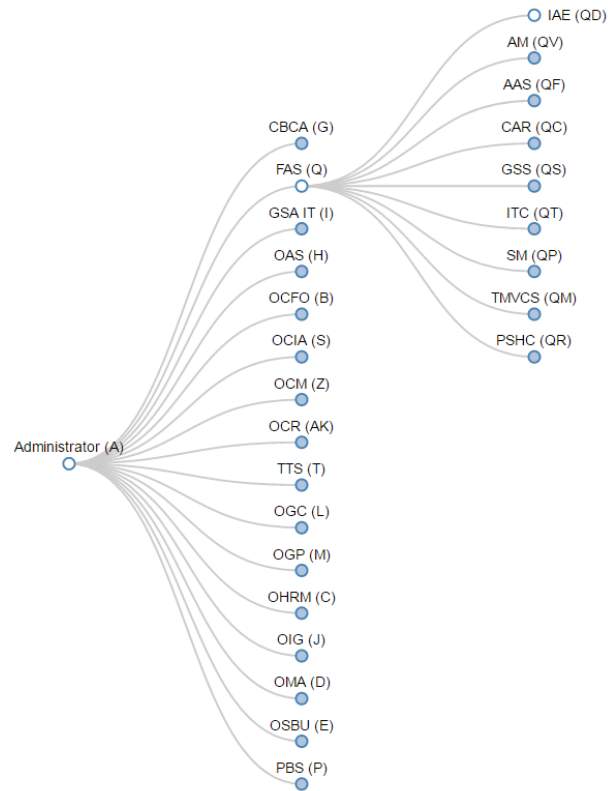


## CBCA (G)

The Civilian Board of Contract Appeals hears and decides contract disputes between government contractors and executive agencies.



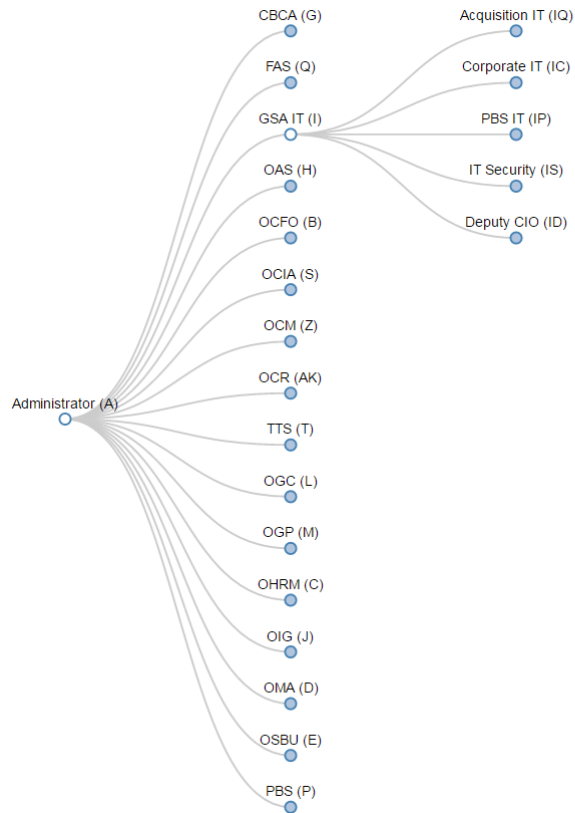
# General Services Administration – Service and Staff Office Level



## FAS (Q)

The Federal Acquisition Service (FAS) operates at the core of the GSA mission: Leverage the buying power of the Federal government to acquire the best value for taxpayers and Federal customers. To support GSA and accomplish our mission, FAS uses innovative techniques and leverages government-wide buying power, acquisition expertise, and electronic tools to successfully deliver new and existing services, products and solutions.

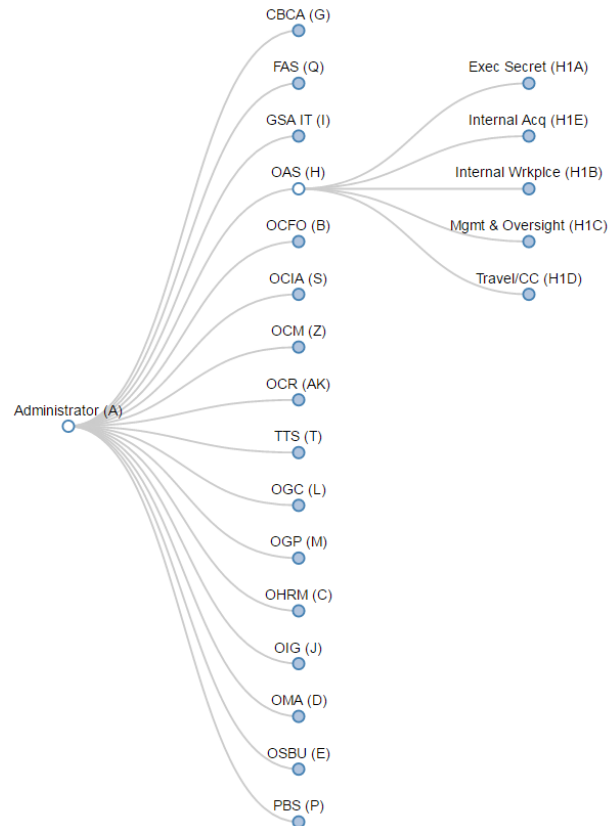
# General Services Administration – Service and Staff Office Level



## GSA IT (I)

The Office of GSA IT provides quality technology solutions: laptops, mobile devices, collaborative cloud-based software, training and support. The organization also provides innovative, mobile-ready and collaborative solutions to have the ability to work anywhere. GSA IT strives to be the technology leader in agility, efficiency, mobility, and productivity.

# General Services Administration – Service and Staff Office Level

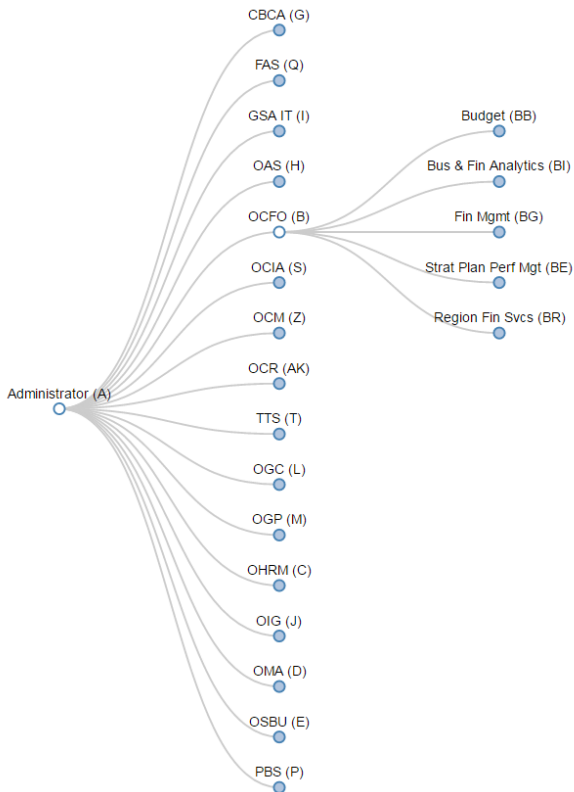


## OAS (H)



The Office of Administrative Services (OAS) serves all GSA employees by providing a single point of entry for information concerning administrative and management guidance and services

# General Services Administration – Service and Staff Office Level

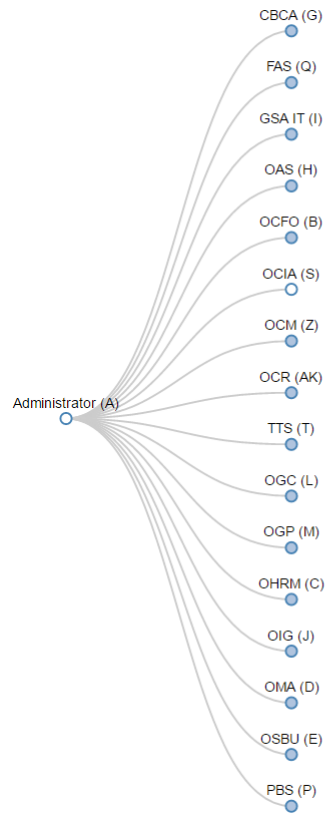


## OCFO (B)



GSA's Office of the Chief Financial Officer (OCFO) provides financial, payroll, and systems services for the agency and its staff offices, as well as more than 50 external clients. The Office provides policy leadership in strategic planning, budgeting and financial management.

# General Services Administration – Service and Staff Office Level

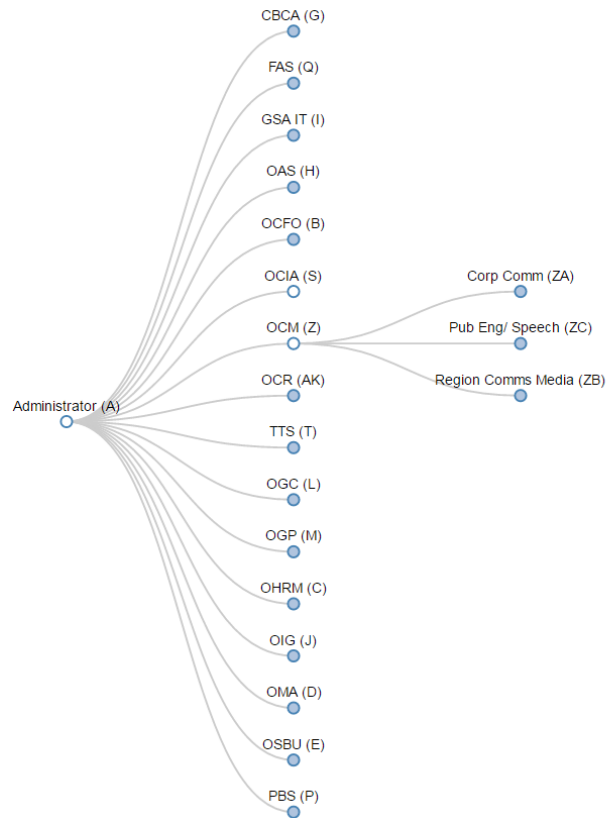


## OCIA (S)



In the Office of Congressional and Intergovernmental Affairs (OCIA) we serve as advisor to the Administrator and as the GSA liaison with Members of Congress and congressional committees.

# General Services Administration – Service and Staff Office Level

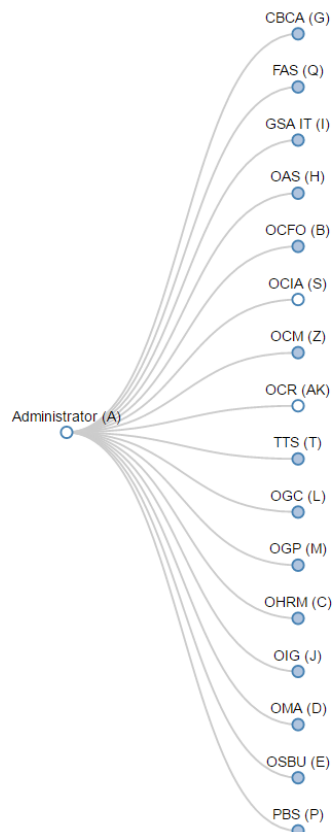


## OCM (Z)



The Office of Communications and Marketing (OCM) is GSA's singular resource for all internal and external communications needs. Their main job is to use communications to help meet the agency's mission and business goals.

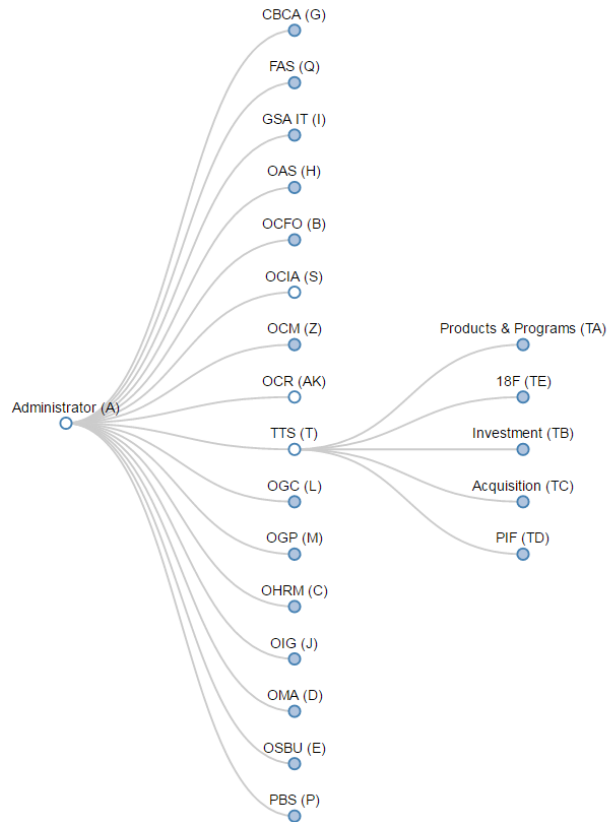
# General Services Administration – Service and Staff Office Level



## OCR (AK)

The Office of Civil Rights administers five programs related to Federal civil rights laws and regulations. Those programs are the Equal Employment Opportunity Program for GSA employees (current and former) and applicants for employment; the Affirmative Employment Program; the Non-discrimination in Federally Conducted Programs and Activities Program for Federal Tenants and members of the general public seeking access to programs and activities conducted by GSA; the Non-discrimination in Federally Assisted Programs and Activities Program for persons eligible to participate in programs or activities that receive Federal financial assistance from GSA; and the Environmental Justice Program. OCR also administers the appeals process for administrative grievances filed by GSA employees.

# General Services Administration – Service and Staff Office Level

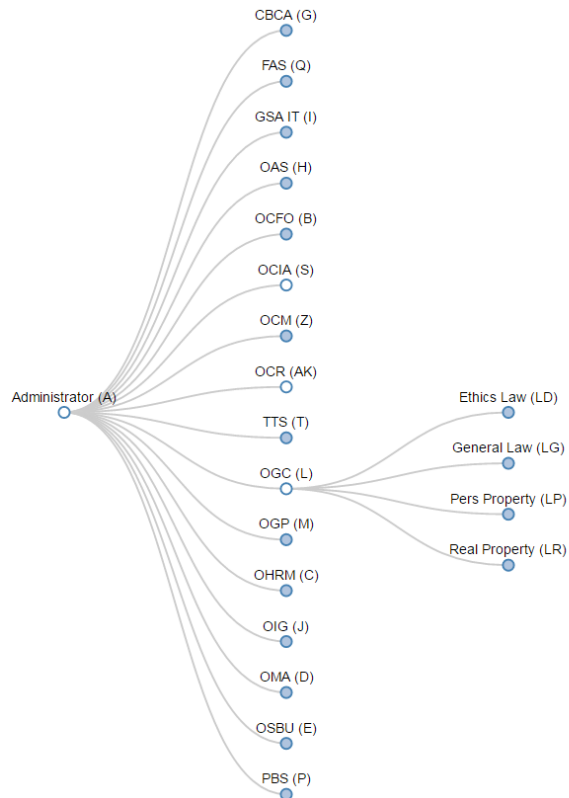


## TTS (T)

The new Technology Transformation Service (TTS) applies modern methodologies and technologies to improve the public's experience with government by helping agencies make their services more accessible, efficient, and effective, and by itself providing services that exemplify these values. The Service builds, provides, and shares technology applications, platforms, processes, personnel, and software solutions to federal agencies in an effort to help them better serve the public.



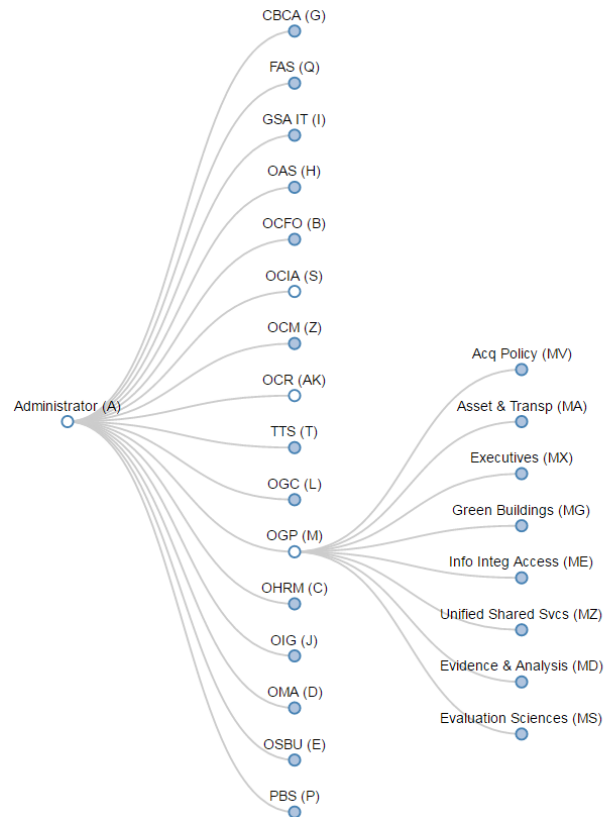
# General Services Administration – Service and Staff Office Level



## OGC (L)

The Office of General Counsel (OGC) carries out all legal activities of the General Services Administration (GSA); ensures full and proper implementation of GSA's statutory responsibilities; provides legal counsel to the Administrator, the Deputy Administrator, and other officials of GSA (with the exception of certain legal activities of the Office of Inspector General and the Board of Contract Appeals). The General Counsel is the chief legal officer of the agency and is responsible for legally sound implementation of GSA's mission responsibilities nationwide.

# General Services Administration – Service and Staff Office Level

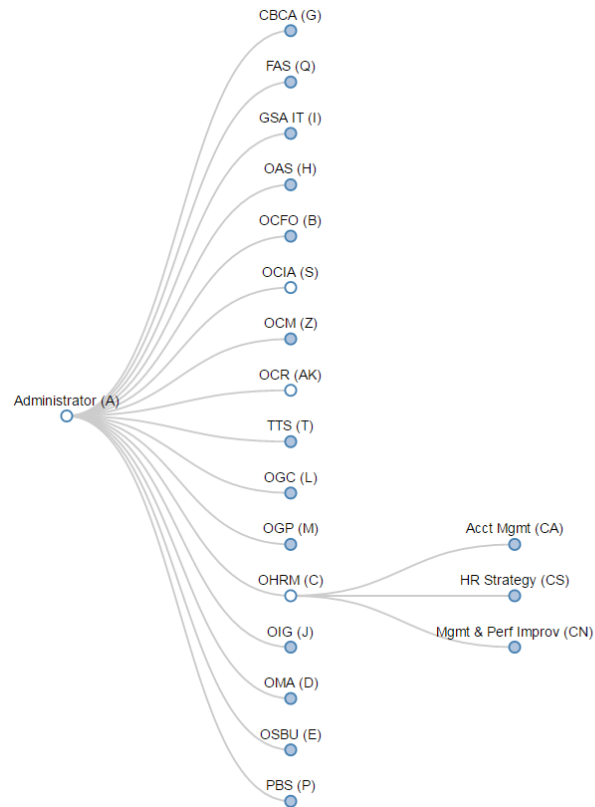


## OGP (M)



GSA created the Office of Governmentwide Policy (OGP) to consolidate its policy functions into a single organization. OGP's policymaking authority cover the areas of personal and real property, travel and transportation, information technology, regulatory information and use of federal advisory committees.

# General Services Administration – Service and Staff Office Level

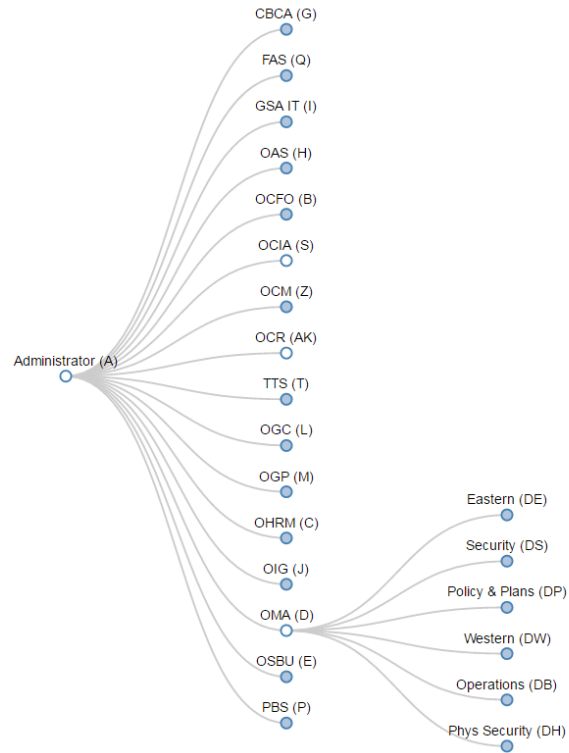


## OHRM (C)



The Office of Human Resources Management is committed to helping GSA fulfill its mission by hiring, retaining, training, and recognizing the talent needed to get the job done.

# General Services Administration – Service and Staff Office Level

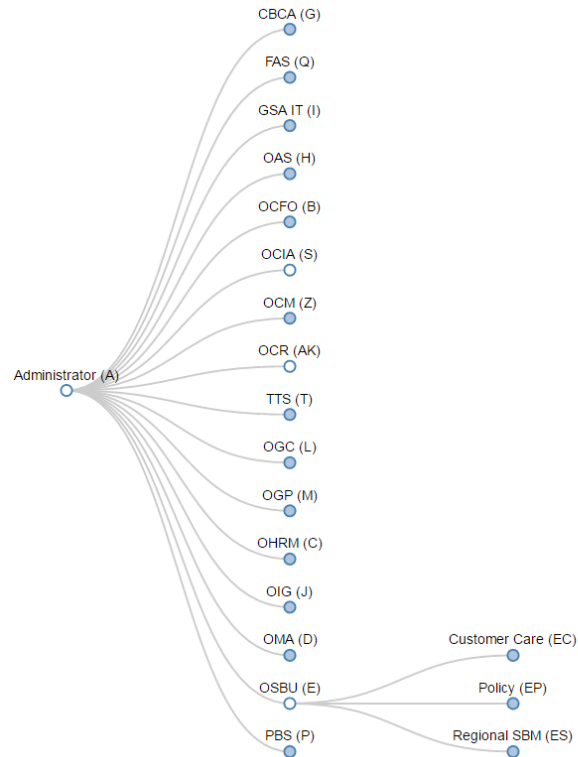


## OMA (D)



The GSA Office of Mission Assurance (OMA) Central Office and Regional staff provides agency wide leadership and coordination for emergency management and security policy; including occupant emergency planning, response and recovery, personal identity verification, physical security, personnel security and suitability activities.

# General Services Administration – Service and Staff Office Level

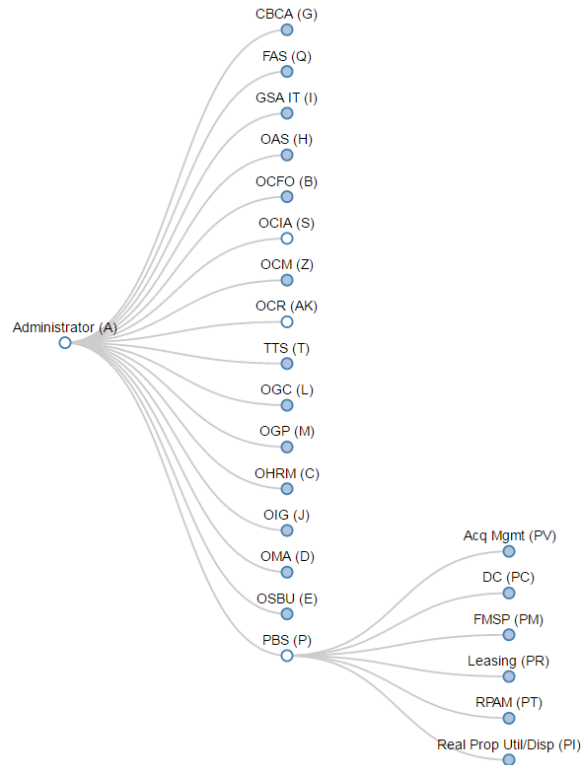


## OSBU (E)



The Office of Small Business Utilization (OSBU) engages in activities that make it possible for the small business community to meet key contracting experts and be counseled on the procurement process. They monitor and implement small business policies and manage a range of programs mandated by law.

# General Services Administration – Service and Staff Office Level



## PBS (P)

Public Building Services cover a wide array of responsibilities, including designing and building of award-winning courthouses, border stations, federal office buildings, laboratories, and data processing centers, repair and renovate facilities, housing of over 100 child care centers, donate or sell real estate for federal agencies, leading government agencies in energy conservation, sustainability, recycling, and historic preservation maintaining more than 470 historic properties, commission artwork for new federal buildings and conserve a substantial inventory of New Deal art.



# Watchdog: 18F Caused a 'Data Breach' Using Slack

By Mohana Ravindranath

May 13, 2016

Tech consulting team 18F's Slack account may have exposed sensitive government information to outsiders and resulted in a data breach, a watchdog report says.

18F, a unit inside the General Services Administration made up largely of private sector recruits who whip up digital prototypes and advise other agencies on tech projects, required employees to use the messaging and collaboration application Slack to share content such as spreadsheets and PDFs. Slack has gained significant traction among employees at startups and tech companies.

Using Slack exposed more than 100 GSA Google Drive accounts -- essentially, storage files -- to outsiders for at least five months, according to a new report from the General Services Administration's Office of the Inspector General. Vulnerable information included personally identifiable information and proprietary information belonging to contractors, the report said.

The team had been using an authentication protocol known as "OAuth2.0" -- neither Slack nor that protocol had been approved by GSA IT standards, according to the IG. It was the use of this authentication method that exposed the Google drives to potential intrusion.

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An 18F supervisor notified a senior security officer at GSA about the breach five days after it was discovered in early March. According to that supervisor, the vulnerability had existed since October. That appears to have run afoul of GSA's policy on data breaches, which requires all incidents involving personally identifiable information be reported to GSA's chief information security officer's team within one hour of discovery.

18F has been very public about its use of Slack, announcing in a blog post it had coded a bot in the application to flag potentially sexist phrases -- suggesting the word "guys" be substituted for "people" or "team," for instance.

Last year, Slack itself disclosed a database storing user information had been exposed to intruders, and subsequently enabled new security features including two-factor authentication and a password "kill-switch" allowing entire teams to automatically reset passwords. The OIG recommended GSA stop using Slack and OAuth 2.0 until they're approved by agency IT standards.

In an email to *Nextgov*, a GSA spokesperson referred to the incident as a "misconfiguration in one of our collaboration tools."

After the issue was identified, GSA "initiated an internal review that did not identify any data breaches" and "made

our user community aware" of the problem.

18F and the U.S. Digital Service, a White House tech team, are also the subject of a Government Accountability Office audit, expected to be published in June.

By Mohana Ravindranath

May 13, 2016

<http://www.nextgov.com/cio-briefing/2016/05/watchdog-18f-caused-data-breach-using-slack/128288/>





## ***Senior Agency Official for Records Management FY 2015 Annual Report***

The *Managing Government Records Directive (M-12-18)* requires Senior Agency Officials (SAOs) for Records Management to provide an annual report to NARA. This report demonstrates how your organization is achieving the goals of the *Directive* and other important initiatives as identified by NARA.

NARA uses the reports to determine the overall progress of the Federal Government in meeting the goals of the *Directive*, including implementing proper email management and transitioning to electronic recordkeeping. Additionally, NARA uses the report for information sharing purposes to provide best practices and model solutions with Federal agencies.

The reporting period begins on November 16, 2015, and reports are due back to NARA no later than COB January 29, 2016.

Please note that NARA will post a version of your 2015 SAO report on the NARA website. This action is in the interest of transparency in Government and to promote collaboration and communication among agencies. Please let us know whether there is a specific justification as to why your report cannot be publicly shared (in whole or in part).

### **Instructions for Reporting**

- This template covers progress through fiscal year (FY) 2015.
- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- Please complete the eight questions/items on the following pages and send the report to [prmd@nara.gov](mailto:prmd@nara.gov). Include the words “SAO annual report” and your agency’s name in the subject line of the email.
- If you are responsible for records management in multiple agencies, components, or bureaus, please determine how you will submit reports to NARA. While NARA prefers a comprehensive report, you may submit separate reports for each component.

**Provide the following information (required):**

Name of SAO: Cynthia A. Metzler

Position title: Chief Administrative Services Officer

Address: 1800 F St. NW Room 7300, Washington, DC 20405

Office telephone number: (202) 357-9697

1. What are the agencies, components, or bureaus covered by this report and your position as SAO? *Please list them below:*

This report covers the General Services Administration.

2. Is your agency going to meet the *Directive* goal to manage all email records in an accessible electronic format by December 31, 2016? (*Directive Goal 1.2*)

X Yes      No

- 2a) *Provide a list of actions your agency, components, or bureaus have taken to meet this goal. Include specific information on your progress regarding:*

- *establishing formally approved email policies,*
- *use of any automated systems for capturing email,*
- *providing access / retrievability of your email,*
- *establishing disposition practices for agency email (either destroy in agency or transfer to NARA), and*
- *possible implementation of the Capstone approach for applicable agency email.*

- 2a) GSA IT and the Office of Administrative Services are working together to implement the Capstone approach for saving email records in an accessible electronic format by December 31, 2016. The following steps have already been taken:

- 1) A license for the system in which the email will be stored (Google Vault) was purchased and implemented in July 2015.
- 2) A Capstone policy has been drafted and shared with internal stakeholders and NARA for review and comment. Revisions will be made to the draft based on that review. A draft was sent to NARA, for approval in November of 2015.
- 3) Internally, GSA's Office of Human Resource Management is

working to identify which employees will be in the category of “Capstone Officials” and how to manage changes to the list as time progresses.

2b) *Provide a list of the actions your agency, components, or bureaus plan to take in 2016 to meet this goal.*

- 2b) GSA plans to complete its implementation of the Capstone approach by the end of December, 2016. This plan includes:
- implementing Google Vault as the technical solution (already completed)
  - designating GSA Capstone Officials,
  - finalizing and implementing the GSA Capstone policy.

3. Has your agency taken actions to implement the 2014 amendments to the *Federal Records Act* requiring Federal employees to copy or forward electronic messages (including email, texts, chats, and instant messaging) that are federal records from their non-official accounts to official accounts within 20 days?

X Yes      ☐ No

*Please provide a brief description of the actions taken, such as establishing policies and providing training.*

GSA’s mandatory, annual records management training was updated in 2015 to specifically address this topic. GSA is drafting an update to its Records Management Policy (OAS P 1820.1) to provide more detailed guidance on the requirement for Federal employees to copy or forward electronic messages (including email, texts, chats, and instant messaging) that are federal records from their non-official accounts to official accounts within 20 days.

4. Describe your agency’s internal controls for managing electronic messages (including email, texts, chats, and instant messaging) of the agency head and other executives (including appropriate advisers, and other senior management staff).

GSA uses primarily Google Gmail for email and Google Hangouts for chat functions. At present, GSA is working to implement the Capstone approach to email management as described by the National Archives and Records Administration in NARA Bulletin 2013-02 (<https://www.archives.gov/records-mgmt/bulletins/2013/2013-02.html>). The implementation process will be complete by the end of this year (2016). Once fully implemented, GSA will have the email of the GSA Administrator and other executives retained permanently with transfers of email to NARA when they become 15 years old. With regard to chat dialogues via Google Hangouts, those messages are not preserved.

5. Is your agency going to meet the *Directive* goal to submit records schedules to NARA for all existing paper and other non-electronic records by December 31, 2016? (*Directive Goal 2.5*)

X Yes      ☐ No

5a) *Provide a list of the actions your agency, components, or bureaus have taken to meet this goal.*

5a) In FY2015, GSA submitted components of a new, flexible bucket schedule to NARA that will provide records schedules for all existing paper and other non-electronic records. We anticipate that GSA will receive NARA's approval on that flexible schedule by deadline of December 31, 2016.

5b) *Provide a list of the actions your agency, components, or bureaus plan to take in the future to meet this goal.*

5b) GSA believes that actions we have taken, once approved by NARA, will suffice to meet the goal.

6. Is your agency going to meet the *Directive* goal to manage all permanent electronic records in an electronic format by December 31, 2019? (*Directive Goal 1.1*)

X Yes      ☐ No

6a) *Provide a list of the actions your agency, components, or bureaus have taken to meet this goal. Include specific information on your progress regarding:*

- *establishing formally approved electronic records policies,*
- *use of any automated systems for capturing electronic records,*
- *providing access / retrievability of your electronic records, and*
- *establishing disposition practices for agency electronic records.*

6a) GSA is in the implementation phase of an Electronic Document Management System (EDMS). In recent months, GSA has:

- 1) Completed documenting business requirements
- 2) Held a competition and selected a software product (Alfresco).
- 3) Created a product development environment for testing components as they are developed.
- 4) Selected a vendor to do the implementation.

6b) *Provide a list of the actions your agency, components, or bureaus plan to take in the future to meet this goal.*

6b) Working with its contract vendor, GSA will be phasing in the EDMS solution over the next three years with the goal of being completed by December 31, 2019.

7. Please provide any insight to your agency's efforts to implement the *Managing Government Records Directive* and the transition to a digital government.

*Provide a brief description, including any positive or negative outcomes, challenges, and other obstacles.*

GSA has or will have implemented the appropriate parts of the *Managing Government Records Directive* prior to the time frames outlined in the directive. One challenge GSA has had is identifying and sending permanent records which are 30 years or older to NARA. However, it is anticipated that this process should be completed by March 2016.

8. With regard to records management, is your agency preparing for the upcoming change in Presidential administration?

X Yes      ☐ No

8a) *Provide a list of the actions your agency, components, or bureaus have taken to ensure records of departing senior officials will be appropriately managed during the upcoming change in Presidential administration.*

8a) GSA provides on its On-Line University regarding how records are to be managed, including those of senior officials. This training is mandatory for all GSA employees and is required to be taken on a yearly basis. GSA will remind all departing senior officials of their obligations.

8b) *Provide a list of the actions your agency, components, or bureaus plan to take in the future to ensure records of departing senior officials will be appropriately managed during the upcoming change in Presidential administration, including ensuring that federal records are not improperly removed from the agency.*

8b) GSA plans on creating an on-line training course that focuses specifically on the requirements a senior official must meet in regards to records management when leaving the government. This course will be required to be taken prior to leaving government service. As noted above, departing officials will be reminded of their obligations regarding records.

### GSA's Office of the Inspector General's Response to the SAO Report

The GSA Office of Inspector General (OIG) has a separate email system, which it administers without GSA assistance. OIG also has some separate file storage systems which GSA has no control over or insight into. OIG thereby supplements the GSA SAO report submission with the following:

The OIG is working towards achieving the goal of the *Managing Government Records Directive (M-12-18)* to manage email records in an accessible electronic format by December 31, 2016. We are in the process of taking action to implement the 2014 amendments to the *Federal Records Act* regarding forwarding electronic messages to official accounts within 20 days, and we are establishing controls for managing electronic records of the IG and other executives.

The OIG met the M-12-18 goal to submit records schedules to NARA in May, 2015, and intends to meet the goal to manage all permanent records in electronic format by December 31, 2019.




GSA  
 Frank Palermo  
 Director, Capital Projects  
 (202) 708-7624

5-23-16

General Questions	Yes	No	Comments
When would you like to start the project?			ASAP
Is invitational travel available?	<input type="checkbox"/>	<input type="checkbox"/>	unknown
Are the files in cabinets?	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Some cabinets, some boxed
Describe the type of records this project will be handling. What are the records series? Are there multiple records series? Is there PII (personally identifiable information)?			All documents are design and construction files by project
What are the inclusive years of the records?	From:	To:	1980's current
Is there a current file plan or records inventory?	<input type="checkbox"/>	<input type="checkbox"/>	Not for the whole, maybe by project
Is there an index of the files?	<input type="checkbox"/>	<input type="checkbox"/>	" "
Is there an electronic system which can print an index of the files?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	No
Are records inactive/closed? (i.e., not used for daily business).	<input checked="" type="checkbox"/>	<input type="checkbox"/>	For this purpose
Have files eligible for destruction been purged by the agency?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	No - but this can be arranged
Was the closing date verified during the purge?	<input type="checkbox"/>	<input type="checkbox"/>	n/a
Will we need to verify closed dates and sort?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Yes
Have closed files been put into FRC boxes?	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	partially
If files have not been boxed, is the agency providing FRC boxes?	<input type="checkbox"/>	<input type="checkbox"/>	Possibly
Will NARA complete the SF-135(s)?	<input type="checkbox"/>	<input type="checkbox"/>	
Will NARA arrange to pick up or ship boxes?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Yes
Will NARA get the transfer numbers for the boxes and SF-135?	<input type="checkbox"/>	<input type="checkbox"/>	
Where, exactly, will project work be conducted?			GSA Regional Office Building (ROB) 301 7th St, SW, Washington, DC 20407
Is there enough space for more than one person work in this/these location(s)?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	plenty of space/vacant
Will staff be made available for areas affected by this project? Will subject matter experts be available to answer questions NARA staff may have about the records or about logistics?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Yes - as needed
What are your agency's security protocols for NARA staff on site?			Easily arranged -

<b>If data entry is required:</b>	<input checked="" type="checkbox"/> ← Check here if N/A
How many boxes or cubic feet need to be data entered?	
How many work stations are available on site for NARA staff to do data entry into the agency's database?	
Explain the system that will be used for data entry. Can you provide a user's guide for data entry?	

REQUEST FOR RECORDS DISPOSITION AUTHORITY (See Instructions on reverse)		LEAVE BLANK (NARA use only)	
1. NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		JOB NUMBER NI-121-90-2	
FROM (Agency or establishment) General Services Administration		DATE RECEIVED 4/8/92	
2. MAJOR SUBDIVISION Office of Administrative Service		NOTIFICATION TO AGENCY  In accordance with the provisions of 44 U.S.C. 3303a the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10	
3. MINOR SUBDIVISION Information Collection Management Branch			
4. NAME OF PERSON WITH WHOM TO CONFER Mae Simms	5. TELEPHONE 501-2938	DATE 4/10/92	ARCHIVIST OF THE UNITED STATES 
6. AGENCY CERTIFICATION I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached <u>2</u> page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies,  <input checked="" type="checkbox"/> is not required; <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested.			
DATE 4/2/92	(b) (6)		TITLE Chief, Information Collection Management Branch (CAIR)
7 ITEM NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)
1.	<p><i>change order, &amp; revised to document</i></p> <p>Original <sup>and as built</sup> <del>building</del> drawings, <del>and</del> project specifications ( - - - ). Record set of architectural and engineering drawings including master tracings and acceptable reproducibles relating to design and construction of Federal Buildings; and specifications prepared for specific construction, extensions, conversion, remodeling, repair, and improvement projects. Specifications describe material requirements for the project and prescribe the materials and manufactured items depicted on the related drawings. Including bound sets of blueprints for construction of and changes to buildings.</p> <p>a. Drawings and specifications of all buildings EXCEPT: warehouses, parking garages, machine shops, outbuildings used for storage and maintenance equipment, and guard sheds constructed after 1950.</p> <p>(1) Drawings and specifications that have not been microfilmed or otherwise duplicated.</p> <p>Disposition: PERMANENT. Place in inactive file on completion of building sale, donations or demolition. Cut off inactive file at end of fiscal year and retire to FRC. Transfer to NARA 10 years after cutoff.</p>	HB OAD P. 1820.2 42C30	

*Copied to agency under cover of letter of 11/24/92.*

*Copies sent to NSR, NN-W, NNS, NNT, NCF, NIA 1212192*



REQUEST FOR RECORDS DISPOSITION AUTHORITY — CONTINUATION		DB NUMBER	PAGE
			2 OF 2
7 ITEM NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)
1.	<p>(2) Drawings and specifications that have been microfilmed or otherwise duplicated.</p> <p>Disposition: PERMANENT. Offer original drawings to NARA after microfilmed or duplicate copy has been verified.</p> <p>NOTE: These original drawings and specifications are permanent records and may not be transferred to new, nongovernment owners of buildings. Provide copies to new owners on request.</p> <p>b. Drawings and specifications of warehouses, parking garages, machine shops, outbuildings used for storage and maintenance equipment, and guard sheds constructed after 1950.</p> <p>Disposition: Place in inactive file on completion of building sale, trade, donation or demolition. Cut off and destroy at end of fiscal year.</p> <p>NOTE: These drawings and specifications may be transferred to new, nongovernmental owners of buildings on request.</p>	HB OAD P. 1820.2 42C30	

Request for Records Disposition Authority (See Instructions on reverse)		Leave Blank (NARA Use Only)	
To: <b>National Archives and Records Administration (NIR)</b> <b>Washington, DC 20408</b>		Job Number <b>NZ-234-13-1</b>	
1. From: (Agency or establishment) <b>National Archives and Records Administration</b>		Date Received <b>9/24/13</b>	
2. Major Subdivision <b>Research Services</b>		<b>Notification to Agency</b> In accordance with the provisions of 44 U.S.C. 3303a, the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	
3. Minor Subdivision <b>Access Coordinator - Washington DC</b>			
4. Name of Person with whom to confer <b>Chris Naylor</b>	5. Telephone (include area code) <b>301-837-1997</b>	Date <b>2 Nov 16 (b) (6)</b>	
<b>6. Agency Certification</b> I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached _____ page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies: <input checked="" type="checkbox"/> is not required <input type="checkbox"/> is attached <input type="checkbox"/> has been requested			
Sign <b>(b) (6)</b>	Title <b>Executive for Research Services</b>		Date (mm/dd/yyyy) <b>9/6/2013</b>
7. Item Number	8. Description of Item and Proposed Disposition	9. GRS or Superseded Job Citation	10. Action taken (NARA Use Only)
1	Ledgers. 10 ledgers and 2 loose bundles of Reconstruction Finance Corporation (RFC) records (RG 234), specifically Metals Reserve Company (MRC) and Rubber Reserve Company (RRC) records. Records relate to a variety of topics including production, shipment, and contracts, among others.  DISPOSITION: Temporary - <del>a) Records not related to environmental litigation. Destroy immediately.</del> b) Records needed for environmental litigation. Transfer to the Washington National Records Center. Destroy when no longer needed in connection with litigation.		

## **RG 234 Ledgers and Loose Bundles Inventory**

- **Ledger #58** – Running Totals Contract Shipments, Stockpile, Tonnage, Invoice Metals Reserve, 1945.
- **Ledger #129** – Records of the Reconstruction Finance Corporation. Metals Reserve Company. Metals and Minerals Division. Metals & Minerals Division Declared Exports Thru Argentina to United Kingdom. Box No. 1
- **Ledger** – Chrome Contracts, 1942 – 1944. (Content Note: contains FEA and BEW Import contracts.) Metals Reserve Company 98
- **Ledger** – Metals Reserve Company. Manganese. Manganese Brazil Thru Manganese Chile. Box No. 1 (Content Note: contains FEA Import Contracts.) Metals Reserve Company 99
- **Ledger** – Copolymer Baton Rouge Shipments & Inventory, 1950 – 1952. [No Box or Ledger Number]
- **Ledger** – Records of the Reconstruction Finance Corporation. Rubber Reserve Company. Production Reports. 1944 – 1953 RRC Box 2 Rubber Reserve Company 87
- **Ledger** – Carload & LCL Shipments Esso & Humble 1952 – 1955. [No Box/Ledger #] (Content Note: contains references to Baton Rouge and Baytown, Federal Facilities Corporation, Less that Carload, Exxon Mobile, and Humble Oil and Refining Company)
- **Ledger** – Carload & LCL Shipments Accumulative Totals Esso and Humble Inactive. 1952 – 1954 [No Box/Ledger #] (Content Note: contains references to Baton Rouge and Baytown)
- **Ledger** – Carload & LCL Shipments Esso & Humble 1950 -1954. [No Box/Ledger #] (Content Note: contains references to Carload and LCL Shipments, Copolymer, Firestone Akron, Firestone, Lake Charles, General, Goodrich, Pt. Naches, Goodyear, Kentucky, and Phillips)
- **Ledger** - Custom Metals Reserve Dutiable Material 1940-43 Metals Reserve Co. Box 161.
- **Bundle 1** - General Records Branch. Production Section Metals Country Wide T to Z Book #54
- **Bundle 2** – Metals Reserve Country Box 286.



RECOMMENDATION TO THE ARCHIVIST ON RECORDS  
DISPOSITION REQUEST

Job No. N2-234-13-001

Item Count: 2

SUMMARY

Textual Archives Services Division recommends that RG 234 ledgers and loose bundles be scheduled for destruction as they do not warrant continued preservation in the National Archives. The records are Metals Reserve Company (MRC) and Rubber Reserve Company (RRC) records concerning such topics as contracts and shipments, which have little or no research value. The records are similar to those authorized for disposal on N2-234-93-1. Because we cannot say for certainty these records are covered by this schedule, we must undertake a new internal disposal action in order to destroy them.

I recommend approval of this schedule.


RECOMMENDATION

- ☒ 1. APPROVED FOR DISPOSAL. The records described under all items of the schedule, except those that may be listed in blocks 2, 3, and 4 of this section, are disposable because they do not, or will not after the lapse of the period specified, have sufficient administrative, legal, research or other value to warrant their continued preservation by the Government.
- ☐ 2. APPROVED FOR PERMANENT RETENTION. The records described under the following item or items have been appraised by the National Archives and Records Administration (NARA) and are determined to have sufficient historical or other value to warrant their continued preservation by the United States Government. The agency will transfer these records to the National Archives as specified.
- ☐ 3. DISPOSITION NOT APPROVED. The records described under the following item or items are not approved for disposition.
- ☐ 4. WITHDRAWN. The records described under the following item or items have been withdrawn at the request of the agency and/or NARA.

FEDERAL REGISTER NOTICE

☐ Not required.

☒ Required — Publication Date: ~~December 23, 2013~~  
Copies Requested: ~~Upon Internal Approval~~  
Comments Received: 0

SIGNATURE	TITLE	DATE
	Appraiser	11/22/13
	RDT	11/22/13
	RD	12/02/13
	R	12/3/13
	AC	12.13.2013
	COO	12/18/2013
	NGC	12/27/13
	<del>ACNR</del> ACNR	12/30/13



February 25, 2016

Ms. Cynthia A. Metzler  
Chief Administrative Services Office  
Office of Administrative Services  
General Services Administration  
1800 F Street, NW  
Washington, DC 20405-0001

Dear Ms. Metzler:

I am writing in response to your letter dated November 19, 2015, describing the circumstances regarding the alleged unauthorized destruction of Federal records related to the General Services Administration (GSA) management of the Army's Childcare Subsidy Program.

The email and voicemail communications received by GSA related to the Army's Childcare Subsidy Program are Federal records and therefore must be managed in accordance with the applicable U.S. laws, regulations, and rules. This includes the General Records Schedules (GRS) issued by the National Archives and Records Administration (NARA), and agency-specific records disposition schedules approved by the Archivist of the United States. Federal records cannot be disposed of until the appropriate disposition authority has been ascertained and applied.

Your reference to 36 CFR §1222.10(b) as an authority for selection and disposition of records is an erroneous interpretation of the regulation. This definition explains the phrase "appropriate for preservation" as it appears in 44 U.S.C § 3301, Definition of Records. The intent of both the codified phrase and its regulatory definition is to insure that agencies protect, maintain unchanged, and keep intact, records having evidential value relative to the business of the agency. This definition does not supersede the regulations that specifically address agency records management and records retention requirements.

NATIONAL ARCHIVES *and*  
RECORDS ADMINISTRATION

8601 ADELPHI ROAD  
COLLEGE PARK, MD 20740-6001

[www.archives.gov](http://www.archives.gov)

GSA's own policies should have led GSA employees to identify the emails and voicemail messages created and received in connection with the Army's Childcare Subsidy Program as Federal records, and ensured their management in accordance with the appropriate NARA records disposition authority.

*GSA Policy and Procedure*, OAS P 1820.1, Appendix B, provides the following instruction to GSA employees:

"If documentary material is made or received by a GSA associate when performing their assigned duties, it is presumed to be a record, and safeguards should be instituted to prevent unauthorized destruction/deletion or removal from GSA electronic systems or physical files.

GSA internal order CIO 2160.2B CHGE 1, *GSA Electronic Messaging and Related Services*, correctly instructs GSA employees to manage email and alerts them to Federal records management requirements as well as explaining what types of email messages are non-record or transitory.

The email and voicemail records created or received by the program are records of "program administration" as described in GSA Records Maintenance and Disposition System, OAD P 1820.2, Appendix 9, Files Common to Most Offices. This appendix is incorporated in full into GSA records control schedule NC1-269-80-2 (available on our web site at [http://www.archives.gov/records-mgmt/rcs/schedules/independent-agencies/rg-0269/nc1-269-80-02\\_sf115.pdf](http://www.archives.gov/records-mgmt/rcs/schedules/independent-agencies/rg-0269/nc1-269-80-02_sf115.pdf)). In this schedule, item 9C1 delineates the breadth and scope of program administration records and establishes temporary retention with destruction authorized when the records become 2 years old. Records schedule items 9C3 and 9C5 address managing non-record files and unscheduled files respectively.

Based on your letter, it appears that GSA personnel appropriately managed emails with general questions (e.g., requests for a phone number or internet address) under GRS 23, Item 7. Please note that as of August 2015, the appropriate legal authority became GRS 4.2, item 10, General Information Request Files, which has a minimum retention of 90 days. Your letter indicated that emails upon which action was taken were transferred to the content management software system ImageNow. In instances where an email sent to the shared box was immediately acted upon, were these emails also included in ImageNow? What disposition authority(ies) is GSA applying to the records stored in ImageNow?



There is a reasonable expectation that the administration of programs such as the Army's Childcare Subsidy Program would necessitate the creation of case files corresponding to a family's request, determination of eligibility, and award of childcare subsidy under the Program. Are all case files for this program stored in the ImageNow system? For emails that were deleted when the mailbox was approximately 97 percent full, are those emails found in ImageNow? If not, what volume and number of emails, not disposable under GRS 4.2 item 10, were deleted without meeting the retention period for the programs' records?

NARA also has questions regarding the management of voice mail communications where those communications impacted the transaction of the official business of the program. Voicemail may be routine and transitory or it can contain information of importance for inclusion in the case file of a program applicant or participant. How was this determination made? How was the information contained in voicemails captured and, where applicable, included with the case files? The creation of a call log using system metadata creates a new record and does not eliminate the requirement to manage the voicemails as records.

NARA notified you in a letter dated September 23, 2015, of an alleged unauthorized destruction of Federal records as required by 36 CFR §1230.16(b). Your response has raised additional questions, which we request that you address along with the required response outlined in 36 CFR §1230.14:

- (1) A complete description of the records with volume and dates if known;
- (2) The office maintaining the records;
- (3) A statement of the exact circumstances surrounding the removal, defacing, alteration, or destruction of records;
- (4) A statement of the safeguards established to prevent further loss of documentation; and
- (5) When appropriate, details of the actions taken to salvage, retrieve, or reconstruct the records.

This case can be brought to a satisfactory resolution with your responses to the above points, and the additional questions in this letter. In addition, please provide a copy of the Records Maintenance Plan (GSA 2039), or equivalent, for the GSA administration of the Army's Childcare Subsidy Program.

I appreciate your cooperation in this matter. We understand that the issues are complex, and would like to assure you that we are available to discuss our requirements and potential responses. If you have any questions, please contact Lloyd Beers at 301-837-0480 or [lloyd.beers@nara.gov](mailto:lloyd.beers@nara.gov).

Sincerely,

**(b) (6)**

LAURENCE BREWER  
Acting Chief Records Officer  
for the U.S. Government



# Presidential Policy Directive -- Critical Infrastructure Security and Resilience

PRESIDENTIAL POLICY DIRECTIVE/PPD-21

SUBJECT: Critical Infrastructure Security and Resilience

The Presidential Policy Directive (PPD) on Critical Infrastructure Security and Resilience advances a national unity of effort to strengthen and maintain secure, functioning, and resilient critical infrastructure.

## **Introduction**

The Nation's critical infrastructure provides the essential services that underpin American society. Proactive and coordinated efforts are necessary to strengthen and maintain secure, functioning, and resilient critical infrastructure – including assets, networks, and systems – that are vital to public confidence and the Nation's safety, prosperity, and well-being.

The Nation's critical infrastructure is diverse and complex. It includes distributed networks, varied organizational structures and operating models (including multinational ownership), interdependent functions and systems in both the physical space and cyberspace, and governance constructs that involve multi-level authorities, responsibilities, and regulations. Critical infrastructure owners and operators are uniquely positioned to manage risks to their individual operations and assets, and to determine effective strategies to make them more secure and resilient.

Critical infrastructure must be secure and able to withstand and rapidly recover from all hazards. Achieving this will require integration with the national preparedness system across prevention, protection, mitigation, response, and recovery.

This directive establishes national policy on critical infrastructure security and resilience. This endeavor is a shared responsibility among the Federal, state, local, tribal, and territorial (SLTT) entities, and public and private owners and operators of critical infrastructure (herein referred to as "critical infrastructure owners and operators"). This directive also refines and clarifies the critical infrastructure-related functions, roles, and responsibilities across the Federal Government, as well as enhances overall coordination and collaboration. The Federal Government also has a responsibility to strengthen the security and resilience of its own critical infrastructure, for the continuity of national essential functions, and to organize itself to partner effectively with and add value to the security and resilience efforts of critical infrastructure owners and operators.

## **Policy**

It is the policy of the United States to strengthen the security and resilience of its critical infrastructure against both physical and cyber threats. The Federal Government shall work with critical infrastructure owners and operators and SLTT entities to take proactive steps to manage risk and strengthen the security and resilience of the Nation's critical infrastructure, considering all hazards that could have a debilitating impact on national security, economic stability, public health and safety, or any combination thereof. These

efforts shall seek to reduce vulnerabilities, minimize consequences, identify and disrupt threats, and hasten response and recovery efforts related to critical infrastructure.

The Federal Government shall also engage with international partners to strengthen the security and resilience of domestic critical infrastructure and critical infrastructure located outside of the United States on which the Nation depends.

U.S. efforts shall address the security and resilience of critical infrastructure in an integrated, holistic manner to reflect this infrastructure's interconnectedness and interdependency. This directive also identifies energy and communications systems as uniquely critical due to the enabling functions they provide across all critical infrastructure sectors.

Three strategic imperatives shall drive the Federal approach to strengthen critical infrastructure security and resilience:

- 1) Refine and clarify functional relationships across the Federal Government to advance the national unity of effort to strengthen critical infrastructure security and resilience;
- 2) Enable effective information exchange by identifying baseline data and systems requirements for the Federal Government; and
- 3) Implement an integration and analysis function to inform planning and operations decisions regarding critical infrastructure.

All Federal department and agency heads are responsible for the identification, prioritization, assessment, remediation, and security of their respective internal critical infrastructure that supports primary mission essential functions. Such infrastructure shall be addressed in the plans and execution of the requirements in the National Continuity Policy.

Federal departments and agencies shall implement this directive in a manner consistent with applicable law, Presidential directives, and Federal regulations, including those protecting privacy, civil rights, and civil liberties. In addition, Federal departments and agencies shall protect all information associated with carrying out this directive consistent with applicable legal authorities and policies.

### **Roles and Responsibilities**

Effective implementation of this directive requires a national unity of effort pursuant to strategic guidance from the Secretary of Homeland Security. That national effort must include expertise and day-to-day engagement from the Sector-Specific Agencies (SSAs) as well as the specialized or support capabilities from other Federal departments and agencies, and strong collaboration with critical infrastructure owners and operators and SLTT entities. Although the roles and responsibilities identified in this directive are directed at Federal departments and agencies, effective partnerships with critical infrastructure owners and operators and SLTT entities are imperative to strengthen the security and resilience of the Nation's critical infrastructure.

#### **Secretary of Homeland Security**

The Secretary of Homeland Security shall provide strategic guidance, promote a national unity of effort, and coordinate the overall Federal effort to promote the security and resilience of the Nation's critical infrastructure. In carrying out the responsibilities assigned in the Homeland Security Act of 2002, as amended, the Secretary of Homeland Security evaluates national capabilities, opportunities, and challenges in protecting critical infrastructure; analyzes threats to, vulnerabilities of, and potential consequences from

all hazards on critical infrastructure; identifies security and resilience functions that are necessary for effective public-private engagement with all critical infrastructure sectors; develops a national plan and metrics, in coordination with SSAs and other critical infrastructure partners; integrates and coordinates Federal cross-sector security and resilience activities; identifies and analyzes key interdependencies among critical infrastructure sectors; and reports on the effectiveness of national efforts to strengthen the Nation's security and resilience posture for critical infrastructure.

Additional roles and responsibilities for the Secretary of Homeland Security include:

- 1) Identify and prioritize critical infrastructure, considering physical and cyber threats, vulnerabilities, and consequences, in coordination with SSAs and other Federal departments and agencies;
- 2) Maintain national critical infrastructure centers that shall provide a situational awareness capability that includes integrated, actionable information about emerging trends, imminent threats, and the status of incidents that may impact critical infrastructure;
- 3) In coordination with SSAs and other Federal departments and agencies, provide analysis, expertise, and other technical assistance to critical infrastructure owners and operators and facilitate access to and exchange of information and intelligence necessary to strengthen the security and resilience of critical infrastructure;
- 4) Conduct comprehensive assessments of the vulnerabilities of the Nation's critical infrastructure in coordination with the SSAs and in collaboration with SLTT entities and critical infrastructure owners and operators;
- 5) Coordinate Federal Government responses to significant cyber or physical incidents affecting critical infrastructure consistent with statutory authorities;
- 6) Support the Attorney General and law enforcement agencies with their responsibilities to investigate and prosecute threats to and attacks against critical infrastructure;
- 7) Coordinate with and utilize the expertise of SSAs and other appropriate Federal departments and agencies to map geospatially, image, analyze, and sort critical infrastructure by employing commercial satellite and airborne systems, as well as existing capabilities within other departments and agencies; and
- 8) Report annually on the status of national critical infrastructure efforts as required by statute.

#### Sector-Specific Agencies

Each critical infrastructure sector has unique characteristics, operating models, and risk profiles that benefit from an identified Sector-Specific Agency that has institutional knowledge and specialized expertise about the sector. Recognizing existing statutory or regulatory authorities of specific Federal departments and agencies, and leveraging existing sector familiarity and relationships, SSAs shall carry out the following roles and responsibilities for their respective sectors:

- 1) As part of the broader national effort to strengthen the security and resilience of critical infrastructure, coordinate with the Department of Homeland Security (DHS) and other relevant Federal departments and agencies and collaborate with critical infrastructure owners and operators, where appropriate with independent regulatory agencies, and with SLTT entities, as appropriate, to implement this directive;
- 2) Serve as a day-to-day Federal interface for the dynamic prioritization and coordination of sector-specific activities;

- 3) Carry out incident management responsibilities consistent with statutory authority and other appropriate policies, directives, or regulations;
- 4) Provide, support, or facilitate technical assistance and consultations for that sector to identify vulnerabilities and help mitigate incidents, as appropriate; and
- 5) Support the Secretary of Homeland Security's statutorily required reporting requirements by providing on an annual basis sector-specific critical infrastructure information.

#### Additional Federal Responsibilities

The following departments and agencies have specialized or support functions related to critical infrastructure security and resilience that shall be carried out by, or along with, other Federal departments and agencies and independent regulatory agencies, as appropriate.

- 1) The Department of State, in coordination with DHS, SSAs, and other Federal departments and agencies, shall engage foreign governments and international organizations to strengthen the security and resilience of critical infrastructure located outside the United States and to facilitate the overall exchange of best practices and lessons learned for promoting the security and resilience of critical infrastructure on which the Nation depends.
- 2) The Department of Justice (DOJ), including the Federal Bureau of Investigation (FBI), shall lead counterterrorism and counterintelligence investigations and related law enforcement activities across the critical infrastructure sectors. DOJ shall investigate, disrupt, prosecute, and otherwise reduce foreign intelligence, terrorist, and other threats to, and actual or attempted attacks on, or sabotage of, the Nation's critical infrastructure. The FBI also conducts domestic collection, analysis, and dissemination of cyber threat information, and shall be responsible for the operation of the National Cyber Investigative Joint Task Force (NCIJTF). The NCIJTF serves as a multi-agency national focal point for coordinating, integrating, and sharing pertinent information related to cyber threat investigations, with representation from DHS, the Intelligence Community (IC), the Department of Defense (DOD), and other agencies as appropriate. The Attorney General and the Secretary of Homeland Security shall collaborate to carry out their respective critical infrastructure missions.
- 3) The Department of the Interior, in collaboration with the SSA for the Government Facilities Sector, shall identify, prioritize, and coordinate the security and resilience efforts for national monuments and icons and incorporate measures to reduce risk to these critical assets, while also promoting their use and enjoyment.
- 4) The Department of Commerce (DOC), in collaboration with DHS and other relevant Federal departments and agencies, shall engage private sector, research, academic, and government organizations to improve security for technology and tools related to cyber-based systems, and promote the development of other efforts related to critical infrastructure to enable the timely availability of industrial products, materials, and services to meet homeland security requirements.
- 5) The IC, led by the Director of National Intelligence (DNI), shall use applicable authorities and coordination mechanisms to provide, as appropriate, intelligence assessments regarding threats to critical infrastructure and coordinate on intelligence and other sensitive or proprietary information related to critical infrastructure. In addition, information security policies, directives, standards, and guidelines for safeguarding national security systems shall be overseen as directed by the President, applicable law, and in accordance with that direction, carried out under the authority of the heads of agencies that operate or exercise authority over such national security systems.
- 6) The General Services Administration, in consultation with DOD, DHS, and other departments and agencies as appropriate, shall provide or support government-wide contracts for critical infrastructure

systems and ensure that such contracts include audit rights for the security and resilience of critical infrastructure.

7) The Nuclear Regulatory Commission (NRC) is to oversee its licensees' protection of commercial nuclear power reactors and non-power nuclear reactors used for research, testing, and training; nuclear materials in medical, industrial, and academic settings, and facilities that fabricate nuclear fuel; and the transportation, storage, and disposal of nuclear materials and waste. The NRC is to collaborate, to the extent possible, with DHS, DOJ, the Department of Energy, the Environmental Protection Agency, and other Federal departments and agencies, as appropriate, on strengthening critical infrastructure security and resilience.

8) The Federal Communications Commission, to the extent permitted by law, is to exercise its authority and expertise to partner with DHS and the Department of State, as well as other Federal departments and agencies and SSAs as appropriate, on: (1) identifying and prioritizing communications infrastructure; (2) identifying communications sector vulnerabilities and working with industry and other stakeholders to address those vulnerabilities; and (3) working with stakeholders, including industry, and engaging foreign governments and international organizations to increase the security and resilience of critical infrastructure within the communications sector and facilitating the development and implementation of best practices promoting the security and resilience of critical communications infrastructure on which the Nation depends.

9) Federal departments and agencies shall provide timely information to the Secretary of Homeland Security and the national critical infrastructure centers necessary to support cross-sector analysis and inform the situational awareness capability for critical infrastructure.

### **Three Strategic Imperatives**

#### **1) Refine and Clarify Functional Relationships across the Federal Government to Advance the National Unity of Effort to Strengthen Critical Infrastructure Security and Resilience**

An effective national effort to strengthen critical infrastructure security and resilience must be guided by a national plan that identifies roles and responsibilities and is informed by the expertise, experience, capabilities, and responsibilities of the SSAs, other Federal departments and agencies with critical infrastructure roles, SLTT entities, and critical infrastructure owners and operators.

During the past decade, new programs and initiatives have been established to address specific infrastructure issues, and priorities have shifted and expanded. As a result, Federal functions related to critical infrastructure security and resilience shall be clarified and refined to establish baseline capabilities that will reflect this evolution of knowledge, to define relevant Federal program functions, and to facilitate collaboration and information exchange between and among the Federal Government, critical infrastructure owners and operators, and SLTT entities.

As part of this refined structure, there shall be two national critical infrastructure centers operated by DHS – one for physical infrastructure and another for cyber infrastructure. They shall function in an integrated manner and serve as focal points for critical infrastructure partners to obtain situational awareness and integrated, actionable information to protect the physical and cyber aspects of critical infrastructure. Just as the physical and cyber elements of critical infrastructure are inextricably linked, so are the vulnerabilities. Accordingly, an integration and analysis function (further developed in Strategic Imperative 3) shall be implemented between these two national centers.

The success of these national centers, including the integration and analysis function, is dependent on the quality and timeliness of the information and intelligence they receive from the SSAs and other Federal departments and agencies, as well as from critical infrastructure owners and operators and SLTT entities.

These national centers shall not impede the ability of the heads of Federal departments and agencies to carry out or perform their responsibilities for national defense, criminal, counterintelligence, counterterrorism, or investigative activities.

## 2) Enable Efficient Information Exchange by Identifying Baseline Data and Systems Requirements for the Federal Government

A secure, functioning, and resilient critical infrastructure requires the efficient exchange of information, including intelligence, between all levels of governments and critical infrastructure owners and operators. This must facilitate the timely exchange of threat and vulnerability information as well as information that allows for the development of a situational awareness capability during incidents. The goal is to enable efficient information exchange through the identification of requirements for data and information formats and accessibility, system interoperability, and redundant systems and alternate capabilities should there be a disruption in the primary systems.

Greater information sharing within the government and with the private sector can and must be done while respecting privacy and civil liberties. Federal departments and agencies shall ensure that all existing privacy principles, policies, and procedures are implemented consistent with applicable law and policy and shall include senior agency officials for privacy in their efforts to govern and oversee information sharing properly.

## 3) Implement an Integration and Analysis Function to Inform Planning and Operational Decisions Regarding Critical Infrastructure

The third strategic imperative builds on the first two and calls for the implementation of an integration and analysis function for critical infrastructure that includes operational and strategic analysis on incidents, threats, and emerging risks. It shall reside at the intersection of the two national centers as identified in Strategic Imperative 1, and it shall include the capability to collate, assess, and integrate vulnerability and consequence information with threat streams and hazard information to:

- a. Aid in prioritizing assets and managing risks to critical infrastructure;
- b. Anticipate interdependencies and cascading impacts;
- c. Recommend security and resilience measures for critical infrastructure prior to, during, and after an event or incident; and
- d. Support incident management and restoration efforts related to critical infrastructure.

This function shall not replicate the analysis function of the IC or the National Counterterrorism Center, nor shall it involve intelligence collection activities. The IC, DOD, DOJ, DHS, and other Federal departments and agencies with relevant intelligence or information shall, however, inform this integration and analysis capability regarding the Nation's critical infrastructure by providing relevant, timely, and appropriate information to the national centers. This function shall also use information and intelligence provided by other critical infrastructure partners, including SLTT and nongovernmental analytic entities.

Finally, this integration and analysis function shall support DHS's ability to maintain and share, as a common Federal service, a near real-time situational awareness capability for critical infrastructure that includes actionable information about imminent threats, significant trends, and awareness of incidents that may affect critical infrastructure.

## **Innovation and Research and Development**

The Secretary of Homeland Security, in coordination with the Office of Science and Technology Policy (OSTP), the SSAs, DOC, and other Federal departments and agencies, shall provide input to align those Federal and Federally-funded research and development (R&D) activities that seek to strengthen the security and resilience of the Nation's critical infrastructure, including:

- 1) Promoting R&D to enable the secure and resilient design and construction of critical infrastructure and more secure accompanying cyber technology;
- 2) Enhancing modeling capabilities to determine potential impacts on critical infrastructure of an incident or threat scenario, as well as cascading effects on other sectors;
- 3) Facilitating initiatives to incentivize cybersecurity investments and the adoption of critical infrastructure design features that strengthen all-hazards security and resilience; and
- 4) Prioritizing efforts to support the strategic guidance issued by the Secretary of Homeland Security.

## **Implementation of the Directive**

The Secretary of Homeland Security shall take the following actions as part of the implementation of this directive.

1) Critical Infrastructure Security and Resilience Functional Relationships. Within 120 days of the date of this directive, the Secretary of Homeland Security shall develop a description of the functional relationships within DHS and across the Federal Government related to critical infrastructure security and resilience. It should include the roles and functions of the two national critical infrastructure centers and a discussion of the analysis and integration function. When complete, it should serve as a roadmap for critical infrastructure owners and operators and SLTT entities to navigate the Federal Government's functions and primary points of contact assigned to those functions for critical infrastructure security and resilience against both physical and cyber threats. The Secretary shall coordinate this effort with the SSAs and other relevant Federal departments and agencies. The Secretary shall provide the description to the President through the Assistant to the President for Homeland Security and Counterterrorism.

2) Evaluation of the Existing Public-Private Partnership Model. Within 150 days of the date of this directive, the Secretary of Homeland Security, in coordination with the SSAs, other relevant Federal departments and agencies, SLTT entities, and critical infrastructure owners and operators, shall conduct an analysis of the existing public-private partnership model and recommend options for improving the effectiveness of the partnership in both the physical and cyber space. The evaluation shall consider options to streamline processes for collaboration and exchange of information and to minimize duplication of effort. Furthermore, the analysis shall consider how the model can be flexible and adaptable to meet the unique needs of individual sectors while providing a focused, disciplined, and effective approach for the Federal Government to coordinate with the critical infrastructure owners and operators and with SLTT governments. The evaluation shall result in recommendations to enhance partnerships to be approved for implementation through the processes established in the Organization of the National Security Council System directive.

3) Identification of Baseline Data and Systems Requirements for the Federal Government to Enable Efficient Information Exchange. Within 180 days of the date of this directive, the Secretary of Homeland

Security, in coordination with the SSAs and other Federal departments and agencies, shall convene a team of experts to identify baseline data and systems requirements to enable the efficient exchange of information and intelligence relevant to strengthening the security and resilience of critical infrastructure. The experts should include representatives from those entities that routinely possess information important to critical infrastructure security and resilience; those that determine and manage information technology systems used to exchange information; and those responsible for the security of information being exchanged. Interoperability with critical infrastructure partners; identification of key data and the information requirements of key Federal, SLTT, and private sector entities; availability, accessibility, and formats of data; the ability to exchange various classifications of information; and the security of those systems to be used; and appropriate protections for individual privacy and civil liberties should be included in the analysis. The analysis should result in baseline requirements for sharing of data and interoperability of systems to enable the timely exchange of data and information to secure critical infrastructure and make it more resilient. The Secretary shall provide that analysis to the President through the Assistant to the President for Homeland Security and Counterterrorism.

4) Development of a Situational Awareness Capability for Critical Infrastructure. Within 240 days of the date of this directive, the Secretary of Homeland Security shall demonstrate a near real-time situational awareness capability for critical infrastructure that includes threat streams and all-hazards information as well as vulnerabilities; provides the status of critical infrastructure and potential cascading effects; supports decision making; and disseminates critical information that may be needed to save or sustain lives, mitigate damage, or reduce further degradation of a critical infrastructure capability throughout an incident. This capability should be available for and cover physical and cyber elements of critical infrastructure, and enable an integration of information as necessitated by the incident.

5) Update to National Infrastructure Protection Plan. Within 240 days of the date of this directive, the Secretary of Homeland Security shall provide to the President, through the Assistant to the President for Homeland Security and Counterterrorism, a successor to the National Infrastructure Protection Plan to address the implementation of this directive, the requirements of Title II of the Homeland Security Act of 2002 as amended, and alignment with the National Preparedness Goal and System required by PPD-8. The plan shall include the identification of a risk management framework to be used to strengthen the security and resilience of critical infrastructure; the methods to be used to prioritize critical infrastructure; the protocols to be used to synchronize communication and actions within the Federal Government; and a metrics and analysis process to be used to measure the Nation's ability to manage and reduce risks to critical infrastructure. The updated plan shall also reflect the identified functional relationships within DHS and across the Federal Government and the updates to the public-private partnership model. Finally, the plan should consider sector dependencies on energy and communications systems, and identify pre-event and mitigation measures or alternate capabilities during disruptions to those systems. The Secretary shall coordinate this effort with the SSAs, other relevant Federal departments and agencies, SLTT entities, and critical infrastructure owners and operators.

6) National Critical Infrastructure Security and Resilience R&D Plan. Within 2 years of the date of this directive, the Secretary of Homeland Security, in coordination with the OSTP, the SSAs, DOC, and other Federal departments and agencies, shall provide to the President, through the Assistant to the President for Homeland Security and Counterterrorism, a National Critical Infrastructure Security and Resilience R&D Plan that takes into account the evolving threat landscape, annual metrics, and other relevant information to identify priorities and guide R&D requirements and investments. The plan should be issued every 4 years after its initial delivery, with interim updates as needed.

Policy coordination, dispute resolution, and periodic in-progress reviews for the implementation of this directive shall be carried out consistent with PPD-1, including the use of Interagency Policy Committees coordinated by the National Security Staff.

Nothing in this directive alters, supersedes, or impedes the authorities of Federal departments and agencies, including independent regulatory agencies, to carry out their functions and duties consistent with applicable



legal authorities and other Presidential guidance and directives, including, but not limited to, the designation of critical infrastructure under such authorities.

This directive revokes Homeland Security Presidential Directive/HSPD-7, Critical Infrastructure Identification, Prioritization, and Protection, issued December 17, 2003. Plans developed pursuant to HSPD-7 shall remain in effect until specifically revoked or superseded.

### **Designated Critical Infrastructure Sectors and Sector-Specific Agencies**

This directive identifies 16 critical infrastructure sectors and designates associated Federal SSAs. In some cases co-SSAs are designated where those departments share the roles and responsibilities of the SSA. The Secretary of Homeland Security shall periodically evaluate the need for and approve changes to critical infrastructure sectors and shall consult with the Assistant to the President for Homeland Security and Counterterrorism before changing a critical infrastructure sector or a designated SSA for that sector. The sectors and SSAs are as follows:

#### **Chemical:**

Sector-Specific Agency: Department of Homeland Security

#### **Commercial Facilities:**

Sector-Specific Agency: Department of Homeland Security

#### **Communications:**

Sector-Specific Agency: Department of Homeland Security

**Critical Manufacturing:** Sector-Specific Agency: Department of Homeland Security

#### **Dams:**

Sector-Specific Agency: Department of Homeland Security

#### **Defense Industrial Base:**

Sector-Specific Agency: Department of Defense

#### **Emergency Services:**

Sector-Specific Agency: Department of Homeland Security

#### **Energy:**

Sector-Specific Agency: Department of Energy

#### **Financial Services:**

Sector-Specific Agency: Department of the Treasury

#### **Food and Agriculture:**

Co-Sector-Specific Agencies: U.S. Department of Agriculture and Department of Health and Human Services

#### **Government Facilities:**

Co-Sector-Specific Agencies: Department of Homeland Security and General Services Administration

Healthcare and Public Health:

Sector-Specific Agency: Department of Health and Human Services

Information Technology:

Sector-Specific Agency: Department of Homeland Security

Nuclear Reactors, Materials, and Waste:

Sector-Specific Agency: Department of Homeland Security

Transportation Systems:

Co-Sector-Specific Agencies: Department of Homeland Security and Department of Transportation

Water and Wastewater Systems:

Sector-Specific Agency: Environmental Protection Agency

**Definitions**

For purposes of this directive:

The term "all hazards" means a threat or an incident, natural or manmade, that warrants action to protect life, property, the environment, and public health or safety, and to minimize disruptions of government, social, or economic activities. It includes natural disasters, cyber incidents, industrial accidents, pandemics, acts of terrorism, sabotage, and destructive criminal activity targeting critical infrastructure.

The term "collaboration" means the process of working together to achieve shared goals.

The terms "coordinate" and "in coordination with" mean a consensus decision-making process in which the named coordinating department or agency is responsible for working with the affected departments and agencies to achieve consensus and a consistent course of action.

The term "critical infrastructure" has the meaning provided in section 1016(e) of the USA Patriot Act of 2001 (42 U.S.C. 5195c(e)), namely systems and assets, whether physical or virtual, so vital to the United States that the incapacity or destruction of such systems and assets would have a debilitating impact on security, national economic security, national public health or safety, or any combination of those matters.

The term "Federal departments and agencies" means any authority of the United States that is an "agency" under 44 U.S.C. 3502(1), other than those considered to be independent regulatory agencies, as defined in 44 U.S.C. 3502(5).

The term "national essential functions" means that subset of Government functions that are necessary to lead and sustain the Nation during a catastrophic emergency.

The term "primary mission essential functions" means those Government functions that must be performed in order to support or implement the performance of the national essential functions before, during, and in the aftermath of an emergency.

The term "national security systems" has the meaning given to it in the Federal Information Security Management Act of 2002 (44 U.S.C. 3542(b)).

The term "resilience" means the ability to prepare for and adapt to changing conditions and withstand and recover rapidly from disruptions. Resilience includes the ability to withstand and recover from deliberate attacks, accidents, or naturally occurring threats or incidents.

The term "Sector-Specific Agency" (SSA) means the Federal department or agency designated under this directive to be responsible for providing institutional knowledge and specialized expertise as well as leading, facilitating, or supporting the security and resilience programs and associated activities of its designated critical infrastructure sector in the all-hazards environment.

The terms "secure" and "security" refer to reducing the risk to critical infrastructure by physical means or defense cyber measures to intrusions, attacks, or the effects of natural or manmade disasters.

# THE WHITE HOUSE

WASHINGTON

March 30, 2011

PRESIDENTIAL POLICY DIRECTIVE/PPD-8

SUBJECT: National Preparedness

This directive is aimed at strengthening the security and resilience of the United States through systematic preparation for the threats that pose the greatest risk to the security of the Nation, including acts of terrorism, cyber attacks, pandemics, and catastrophic natural disasters. Our national preparedness is the shared responsibility of all levels of government, the private and nonprofit sectors, and individual citizens. Everyone can contribute to safeguarding the Nation from harm. As such, while this directive is intended to galvanize action by the Federal Government, it is also aimed at facilitating an integrated, all-of-Nation, capabilities-based approach to preparedness.

Therefore, I hereby direct the development of a national preparedness goal that identifies the core capabilities necessary for preparedness and a national preparedness system to guide activities that will enable the Nation to achieve the goal. The system will allow the Nation to track the progress of our ability to build and improve the capabilities necessary to prevent, protect against, mitigate the effects of, respond to, and recover from those threats that pose the greatest risk to the security of the Nation.

The Assistant to the President for Homeland Security and Counterterrorism shall coordinate the interagency development of an implementation plan for completing the national preparedness goal and national preparedness system. The implementation plan shall be submitted to me within 60 days from the date of this directive, and shall assign departmental responsibilities and delivery timelines for the development of the national planning frameworks and associated interagency operational plans described below.

## National Preparedness Goal

Within 180 days from the date of this directive, the Secretary of Homeland Security shall develop and submit the national preparedness goal to me, through the Assistant to the President



for Homeland Security and Counterterrorism. The Secretary shall coordinate this effort with other executive departments and agencies, and consult with State, local, tribal, and territorial governments, the private and nonprofit sectors, and the public.

The national preparedness goal shall be informed by the risk of specific threats and vulnerabilities - taking into account regional variations - and include concrete, measurable, and prioritized objectives to mitigate that risk. The national preparedness goal shall define the core capabilities necessary to prepare for the specific types of incidents that pose the greatest risk to the security of the Nation, and shall emphasize actions aimed at achieving an integrated, layered, and all-of-Nation preparedness approach that optimizes the use of available resources.

The national preparedness goal shall reflect the policy direction outlined in the National Security Strategy (May 2010), applicable Presidential Policy Directives, Homeland Security Presidential Directives, National Security Presidential Directives, and national strategies, as well as guidance from the Interagency Policy Committee process. The goal shall be reviewed regularly to evaluate consistency with these policies, evolving conditions, and the National Incident Management System.

#### National Preparedness System

The national preparedness system shall be an integrated set of guidance, programs, and processes that will enable the Nation to meet the national preparedness goal. Within 240 days from the date of this directive, the Secretary of Homeland Security shall develop and submit a description of the national preparedness system to me, through the Assistant to the President for Homeland Security and Counterterrorism. The Secretary shall coordinate this effort with other executive departments and agencies, and consult with State, local, tribal, and territorial governments, the private and nonprofit sectors, and the public.

The national preparedness system shall be designed to help guide the domestic efforts of all levels of government, the private and nonprofit sectors, and the public to build and sustain the capabilities outlined in the national preparedness goal. The national preparedness system shall include guidance for planning, organization, equipment, training, and exercises to build and maintain domestic capabilities. It shall provide an all-of-Nation approach for building and sustaining a cycle of preparedness activities over time.

The national preparedness system shall include a series of integrated national planning frameworks, covering prevention, protection, mitigation, response, and recovery. The frameworks shall be built upon scalable, flexible, and adaptable coordinating structures to align key roles and responsibilities to deliver the necessary capabilities. The frameworks shall be coordinated under a unified system with a common terminology and approach, built around basic plans that support the all-hazards approach to preparedness and functional or incident annexes to describe any unique requirements for particular threats or scenarios, as needed. Each framework shall describe how actions taken in the framework are coordinated with relevant actions described in the other frameworks across the preparedness spectrum.

The national preparedness system shall include an interagency operational plan to support each national planning framework. Each interagency operational plan shall include a more detailed concept of operations; description of critical tasks and responsibilities; detailed resource, personnel, and sourcing requirements; and specific provisions for the rapid integration of resources and personnel.

All executive departments and agencies with roles in the national planning frameworks shall develop department-level operational plans to support the interagency operational plans, as needed. Each national planning framework shall include guidance to support corresponding planning for State, local, tribal, and territorial governments.

The national preparedness system shall include resource guidance, such as arrangements enabling the ability to share personnel. It shall provide equipment guidance aimed at nationwide interoperability; and shall provide guidance for national training and exercise programs, to facilitate our ability to build and sustain the capabilities defined in the national preparedness goal and evaluate progress toward meeting the goal.

The national preparedness system shall include recommendations and guidance to support preparedness planning for businesses, communities, families, and individuals.

The national preparedness system shall include a comprehensive approach to assess national preparedness that uses consistent methodology to measure the operational readiness of national



capabilities at the time of assessment, with clear, objective and quantifiable performance measures, against the target capability levels identified in the national preparedness goal.

#### Building and Sustaining Preparedness

The Secretary of Homeland Security shall coordinate a comprehensive campaign to build and sustain national preparedness, including public outreach and community-based and private-sector programs to enhance national resilience, the provision of Federal financial assistance, preparedness efforts by the Federal Government, and national research and development efforts.

#### National Preparedness Report

Within 1 year from the date of this directive, the Secretary of Homeland Security shall submit the first national preparedness report based on the national preparedness goal to me, through the Assistant to the President for Homeland Security and Counterterrorism. The Secretary shall coordinate this effort with other executive departments and agencies and consult with State, local, tribal, and territorial governments, the private and nonprofit sectors, and the public. The Secretary shall submit the report annually in sufficient time to allow it to inform the preparation of my Administration's budget.

#### Roles and Responsibilities

The Assistant to the President for Homeland Security and Counterterrorism shall periodically review progress toward achieving the national preparedness goal.

The Secretary of Homeland Security is responsible for coordinating the domestic all-hazards preparedness efforts of all executive departments and agencies, in consultation with State, local, tribal, and territorial governments, nongovernmental organizations, private-sector partners, and the general public; and for developing the national preparedness goal.

The heads of all executive departments and agencies with roles in prevention, protection, mitigation, response, and recovery are responsible for national preparedness efforts, including department-specific operational plans, as needed, consistent with their statutory roles and responsibilities.

Nothing in this directive is intended to alter or impede the ability to carry out the authorities of executive departments and agencies to perform their responsibilities under law and consistent with applicable legal authorities and other Presidential guidance. This directive shall be implemented consistent with relevant authorities, including the Post-Katrina Emergency Management Reform Act of 2006 and its assignment of responsibilities with respect to the Administrator of the Federal Emergency Management Agency.

Nothing in this directive is intended to interfere with the authority of the Attorney General or Director of the Federal Bureau of Investigation with regard to the direction, conduct, control, planning, organization, equipment, training, exercises, or other activities concerning domestic counterterrorism, intelligence, and law enforcement activities.

Nothing in this directive shall limit the authority of the Secretary of Defense with regard to the command and control, planning, organization, equipment, training, exercises, employment, or other activities of Department of Defense forces, or the allocation of Department of Defense resources.

If resolution on a particular matter called for in this directive cannot be reached between or among executive departments and agencies, the matter shall be referred to me through the Assistant to the President for Homeland Security and Counterterrorism.

This directive replaces Homeland Security Presidential Directive (HSPD)-8 (National Preparedness), issued December 17, 2003, and HSPD-8 Annex I (National Planning), issued December 4, 2007, which are hereby rescinded, except for paragraph 44 of HSPD-8 Annex I. Individual plans developed under HSPD-8 and Annex I remain in effect until rescinded or otherwise replaced.

#### Definitions

For the purposes of this directive:

(a) The term "national preparedness" refers to the actions taken to plan, organize, equip, train, and exercise to build and sustain the capabilities necessary to prevent, protect against, mitigate the effects of, respond to, and recover from those threats that pose the greatest risk to the security of the Nation.



(b) The term "security" refers to the protection of the Nation and its people, vital interests, and way of life.

(c) The term "resilience" refers to the ability to adapt to changing conditions and withstand and rapidly recover from disruption due to emergencies.

(d) The term "prevention" refers to those capabilities necessary to avoid, prevent, or stop a threatened or actual act of terrorism. Prevention capabilities include, but are not limited to, information sharing and warning; domestic counterterrorism; and preventing the acquisition or use of weapons of mass destruction (WMD). For purposes of the prevention framework called for in this directive, the term "prevention" refers to preventing imminent threats.

(e) The term "protection" refers to those capabilities necessary to secure the homeland against acts of terrorism and manmade or natural disasters. Protection capabilities include, but are not limited to, defense against WMD threats; defense of agriculture and food; critical infrastructure protection; protection of key leadership and events; border security; maritime security; transportation security; immigration security; and cybersecurity.

(f) The term "mitigation" refers to those capabilities necessary to reduce loss of life and property by lessening the impact of disasters. Mitigation capabilities include, but are not limited to, community-wide risk reduction projects; efforts to improve the resilience of critical infrastructure and key resource lifelines; risk reduction for specific vulnerabilities from natural hazards or acts of terrorism; and initiatives to reduce future risks after a disaster has occurred.

(g) The term "response" refers to those capabilities necessary to save lives, protect property and the environment, and meet basic human needs after an incident has occurred.

(h) The term "recovery" refers to those capabilities necessary to assist communities affected by an incident to recover effectively, including, but not limited to, rebuilding infrastructure systems; providing adequate interim and long-term housing for survivors; restoring health, social, and community services; promoting economic development; and restoring natural and cultural resources.

BARACK OBAMA

**Questions for Mr. Gerard Badorrek**  
Chief Financial Officer  
U.S. General Services Administration

**Questions from Ranking Member Gerald E. Connolly**  
Subcommittee on Government Operations

Hearing: "Army Fee Assistance Program: Part II"

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1. The September 8, 2015 GSA Office of Inspector General Report, "Evaluation of GSA's Administration of the Army Childcare Subsidy Program (JEI 5-006)," found that "GSA periodically deleted emails from the system."

In response to the Committee's request, the National Archives and Records Administration (NARA) submitted a letter to GSA asking for additional information on the agency's decision to delete these emails. In a November 19, 2015 response letter, GSA stated:

"E-mails were deleted in two circumstances: (1) no longer needed because **relevant information** was transferred to ImageNow, or (2) they were transitory in nature and not considered to be a record. E-mails were periodically deleted when the mailbox was approximately 97 percent full with the oldest e-mails deleted first.

For the time covered by the Inspector General's report, it appears that the e-mails were either transitory or **the records contained in the e-mail** were transferred to ImageNow, the system of record."

When you were asked, on January 6, about the incidents of deleted email you said:

"We did an investigation after the last hearing. The emails that were in question were transferred to the system of record, which was ImageNow. That was a system that was being used to retain documents and process documents related to child care."<sup>2</sup>

There seems to be a discrepancy between your recent testimony and GSA's response to NARA.

- a. Please confirm the total number of emails from AFA participants or providers deleted by GSA;
- b. For all deleted emails, please confirm whether the entire email or only "relevant information" was transferred to GSA's system of record, ImageNow;

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<sup>1</sup> Letter from GSA Chief Administrative Services Officer Cynthia Metzler to NARA Administrator Lloyd Beers (Nov. 19, 2015) (emphasis added).

<sup>2</sup> House Committee on Oversight and Government Reform, Testimony of GSA Chief Financial Officer Gerard Badorrek, *Hearing on GSA: Army Fee Assistance*, (Sept 10, 2015).

- c. Please describe what "relevant information" was transferred to ImageNow.
- d. If the "relevant information" contained in the deleted email was transferred to ImageNow, how did the agency determine which portions of the email should be retained?
  - a. Who made this determination?
  - b. Does GSA have an official policy governing the deletion of emails? If so, please provide a copy.

Description	Notes	INVOICES/VENDOR
Former President's FY98 Year-End Material	Kathy Butler emails	
Former President's FY98 Year-End Material	Michael Dannebauer Travel authorization	
Former President's FY98 Year-End Material	Gian Carlo Persesutti Travel Authorization	
Former President's FY98 Year-End Material	FY98 Allowances and Office Staff for Former President Bush	
Former President's FY98 Year-End Material	Fund 106 - Former President's Fund - FY98 Sorted by Object Class	
No Year	Widow Johnson information	
FY04	Widow Johnson	MONTHLY PHONE CHARGES
FY03	Former President George H. W. Bush	Postage
FY2004 Records	Former President George H. W. Bush	Postage
FY03, FY04, and FY05 Records	Former President George H. W. Bush	Personnel Actions
FY2004 Records	FY04 Former President George H. W. Bush	AAA PAYMASTER
FY2004 Records	FY04 Former President George H. W. Bush	ADVANCE SYSTEMS
FY2004 Records	FY04 Former President George H. W. Bush	ALEXANDERS
FY2004 Records	FY04 Former President George H. W. Bush	ANCHOR BOX
FY2004 Records	FY04 Former President George H. W. Bush	AVAYA
FY2004 Records	FY04 Former President George H. W. Bush	BULLETIN NEWS
FY2004 Records	FY04 Former President George H. W. Bush	CDW
FY2004 Records	FY04 Former President George H. W. Bush	CENTURY BUSINESS
FY2004 Records	FY04 Former President George H. W. Bush	CINGULAR
FY2004 Records	FY04 Former President George H. W. Bush	CIRCUIT CITY
FY2004 Records	FY04 Former President George H. W. Bush	CLOSING OF AN FP OFFICE
FY2004 Records	FY04 Former President George H. W. Bush	CREDIT CARDS BILLS
FY2004 Records	FY04 Former President George H. W. Bush	CUSTOM WOOD PRODUCTS
FY2004 Records	FY04 Former President George H. W. Bush	DELL
FY2004 Records	FY04 Former President George H. W. Bush	EBF OFFICE PRODUCTS
FY2004 Records	FY04 Former President George H. W. Bush	FASCLAMPITT-HOUSTON
FY2004 Records	FY04 Former President George H. W. Bush	FEDERAL EXPRESS
FY2004 Records	FY04 Former President George H. W. Bush	FEIN
FY2004 Records	FY04 Former President George H. W. Bush	FP BUSH MEMOS
FY2004 Records	FY04 Former President George H. W. Bush	GSA
FY2004 Records	FY04 Former President George H. W. Bush	HOUSTON CHRONICLE
FY2004 Records	FY04 Former President George H. W. Bush	IBM
FY2004 Records	FY04 Former President George H. W. Bush	INSOURCE
FY2004 Records	FY04 Former President George H. W. Bush	JOURNALGROUP
FY2004 Records	FY04 Former President George H. W. Bush	LLOYD WAINSCOTT
FY2004 Records	FY04 Former President George H. W. Bush	NETWORK SOLUTIONS
FY2004 Records	FY04 Former President George H. W. Bush	NY TIMES
FY2004 Records	FY04 Former President George H. W. Bush	OFFICE DEPOT
FY2004 Records	FY04 Former President George H. W. Bush	OFFICE MAX
FY2004 Records	FY04 Former President George H. W. Bush	PHONES
FY2004 Records	FY04 Former President George H. W. Bush	PITNEY BOWES
FY2004 Records	FY04 Former President George H. W. Bush	QUE IMAGING
FY2004 Records	FY04 Former President George H. W. Bush	RADIO SHACK
FY2004 Records	FY04 Former President George H. W. Bush	SONIC WALL
FY2004 Records	FY04 Former President George H. W. Bush	SOUTHWESTERN BELL
FY2004 Records	FY04 Former President George H. W. Bush	SPRINT
FY2004 Records	FY04 Former President George H. W. Bush	USPS
FY2004 Records	FY04 Former President George H. W. Bush	VERIZON
FY2004 Records	FY04 Former President George H. W. Bush	WALL STREET JOURNAL
FY2004 Records	FY04 Former President George H. W. Bush	XEROX
FY2004 Records	FY04 Former President George H. W. Bush	REQUESTS FROM CO & RESPONSES
FY2004 Records	FY04 Former President George H. W. Bush	MONTHLY REPORTS FMIS/PEGASYS
FY2004 Records	FY04 Former President George H. W. Bush	OBLIGATING DOCUMENTS
FY2004 Records	FY04 Former President George H. W. Bush	LEGAL DECISION
FY2004 Records	FY04 Former President George H. W. Bush	ALLOWANCE DISBURSEMENT EFF 04-02-04
FY2004 Records	FY04 Former President George H. W. Bush	PURCHASES-NOTICES
FY2004 Records	FY04 Former President George H. W. Bush	FOIA REQUESTS
FY2004 Records	FY04 Former President George H. W. Bush	MEMOS FROM MARY SAGE
FY2004 Records	FY04 Former President George H. W. Bush	GENERAL OBLIGATION INFORMATION
FY2004 Records	FY04 Former President George H. W. Bush	SUSPENSE LOG
FY2004 Records	FY04 Former President George H. W. Bush	STATUS OF FUNDS BINDER, LOGS BY OB
FY2004 Records	FY04 Former President George H. W. Bush	BACKUP DATA TO STATUS OF FUNDS BINDER
FY2005 Records	FY05 Former President George H. W. Bush	MONTHLY CREDIT CARD STATEMENTS
FY05	Bush & Windows	CERTIFIED CHARGES

Description	Sub-Title 1	Sub-Title 2	Sub-Title 3	Notes	Invoices
Presidential Transition (Outgoing) Notebook 2008	N/A	N/A	N/A	N/A	N/A
GSA Guide to Financial Services and Procedures	Office of the Former President	Transition Period & Beyond	Office of the Chief Financial Officer, Office of the Budget, December 2000	N/A	N/A
Presidential Transition Manual	Outgoing Administrations	General Services Administration	Office of the Chief Financial Officer, Revised January 1993	N/A	N/A
Presidential Transition Procedures	General Services Administration	Budget Division (7PB)	N/A	N/A	N/A
Presidential Transition Procedures	General Services Administration	Budget Division (7PB)	N/A	N/A	N/A
Presidential Transition Procedures	General Services Administration	Budget Division (7PB)	N/A	N/A	N/A
Former President's Fund	Region 9 Reference Material	N/A	N/A	N/A	N/A
Region 9 Transition Notes	N/A	N/A	N/A	N/A	N/A
Presidential Transition of Ronald Reagan 1989	N/A	N/A	N/A	N/A	N/A
FY03 Records	Former President Bush 41	N/A	N/A	Other Budget Reports	N/A
FY03 Records	Former President Bush 41	N/A	N/A	Travel Voucher	N/A
FY03 Records	Former President Bush 41	N/A	N/A	Credit Card and Citibank	N/A
FY03 Records	Former President Bush 41	N/A	N/A	Credit Card Logs	N/A
FY03 Records	Former President Bush 41	N/A	N/A	Credit Card Log 21-110	N/A
FY03 Records	Former President Bush 41	N/A	N/A	Credit Card Log 23-381/388	N/A
FY03 Records	Former President Bush 41	N/A	N/A	Credit Card Log 25-522	N/A
FY03 Records	Former President Bush 41	N/A	N/A	Credit Card Log 25-516	N/A
FY03 Records	Former President Bush 41	N/A	N/A	Credit Card Log 26-610-619	N/A
FY03 Records	Former President Bush 41	N/A	N/A	Credit Card Log 31-975	N/A
FY03 Records	Former President Bush 41	N/A	N/A	Invoices	N/A
FY03 Records	Former President Bush 41	N/A	N/A	Invoices	AVAYA
FY03 Records	Former President Bush 41	N/A	N/A	Invoices	CINGULAR
FY03 Records	Former President Bush 41	N/A	N/A	Invoices	DITCO
FY03 Records	Former President Bush 41	N/A	N/A	Invoices	FEDEX
FY03 Records	Former President Bush 41	N/A	N/A	Invoices	INSOURCE
FY03 Records	Former President Bush 41	N/A	N/A	Invoices	LEXIS-NEXIS
FY03 Records	Former President Bush 41	N/A	N/A	Invoices	PRINTING
FY03 Records	Former President Bush 41	N/A	N/A	Invoices	POSTAL BOX
FY03 Records	Former President Bush 41	N/A	N/A	Invoices	OFFICE SUPPLIES
FY03 Records	Former President Bush 41	N/A	N/A	Invoices	SONIC WALL (Computers/Software)
FY03 Records	Former President Bush 41	N/A	N/A	Invoices	SPRINT / SKYTEL
FY03 Records	Former President Bush 41	N/A	N/A	Invoices	SUBSCRIPTIONS
FY03 Records	Former President Bush 41	N/A	N/A	Invoices	SW BELL INTERNET
FY03 Records	Former President Bush 41	N/A	N/A	Invoices	SW BELL SVCS
FY03 Records	Former President Bush 41	N/A	N/A	Invoices	VERIZON
FY03 Records	Former President Bush 41	N/A	N/A	Invoices	XEROX

FY03 Records	First Lady Bird Johnson	N/A	N/A	Invoices	MONTHLY ORGANIZATION STATUS REPORT/PACKAGE
FY02 Records	Former President Bush 41	N/A	N/A	Monthly Reports	CREDIT CARD STATUS REPORTS
FY00-FY01 Records	Former Presidents	N/A	N/A	Act Labels	N/A
FY02 Records	Former President Bush 41	N/A	N/A	Invoices	MISCELLANEOUS-AVAYA, INSOURCE, VERIZON
FY01 Records	Former President Bush 41	N/A	N/A	Invoices	MISCELLANEOUS-INSOURCE, XEROX
FY01 Records	Former President Bush 41	N/A	N/A	Invoices	CITIBANK & IMPACT VISA CHARGES
FY01 Records	Former President Bush 41	N/A	N/A	Misc Files	MISC VOUCHERS/INSOURCE/MARY'S NOTES
FY01 Records	Former President Bush 41	N/A	N/A	Misc Files	DELVINA CHAVERRIA EMAILS, VAT TRANSACTIONS, XEROX INVOICE
FY01 Records	Former President Bush 41	N/A	N/A	Misc Files	STATUS OF FUNDS REPORTS/CITIBANK STATEMENTS/VERIZON
FY02 Records	Former President Bush 41	N/A	N/A	Misc Files	TRAVEL MAINE COSTS/INVOICES PENDING PAYMENT RECORDS
FY02 Records	Former President Bush 41	N/A	N/A	Misc Files	CREDIT CARD CHANGES
FY02 Records	Former President Bush 41	N/A	N/A	Salary and Benefits	ACCOUNTING DISTRIBUTION REPORTS
FY00 Records	Former President Bush 41	N/A	N/A	Monthly Reports	STATUS OF FUNDS REPORTS
FY93 Records	Former President Bush 41				
FY95 Records	Former President Bush 41	N/A	N/A	Monthly Reports	FUND 106/MONTHLY ACCTG/DAILY VATS/BUDGET REPORTS
FY96 Records	Former President Bush 41	N/A	N/A	Monthly Reports	STATUS OF FUNDS



Description	Sub-Title 1	Sub-Title 2	Sub-Title 3	Notes	Invoices
FY03 Records	First Lady Bird Johnson	N/A	N/A	Invoices	MONTHLY ORGANIZATIONAL STATUS REPORT/POSTAGE
FY02 Records	Former President Bush 41	N/A	N/A	Monthly Reports	CREDIT CARD STATUS REPORTS
FY00-FY01 Records	Former Presidents	N/A	N/A	Act Labels	N/A
FY02 Records	Former President Bush 41	N/A	N/A	Invoices	MISCELLANEOUS-AVAYA, INSOURCE, VERIZON
FY01 Records	Former President Bush 41	N/A	N/A	Invoices	MISCELLANEOUS-INSOURCE, XEROX
FY01 Records	Former President Bush 41	N/A	N/A	Invoices	CITIBANK & IMPACT VISA CHARGES
FY01 Records	Former President Bush 41	N/A	N/A	Misc Files	MISC VOUCHERS/INSOURCE/MARY'S NOTES
FY01 Records	Former President Bush 41	N/A	N/A	Misc Files	DELVINA CHAVERRIA EMAILS, VAT TRANSACTIONS, XEROX INVOICE
FY01 Records	Former President Bush 41	N/A	N/A	Misc Files	STATUS OF FUNDS REPORTS/CITIBANK STATEMENTS/VERIZON
FY02 Records	Former President Bush 41	N/A	N/A	Misc Files	TRAVEL MAINE COSTS/INVOICES PENDING PAYMENT RECORDS.
FY02 Records	Former President Bush 41	N/A	N/A	Misc Files	CREDIT CARD CHANGES
FY02 Records	Former President Bush 41	N/A	N/A	Salary and Benefi	ACCOUNTING DISTRIBUTION REPORTS
FY00 Records	Former President Bush 41	N/A	N/A	Monthly Reports	STATUS OF FUNDS REPORTS
FY93 Records	Former President Bush 41	Transition of Former President Bush	N/A	Monthly Reports	OPEN ITEMS/DAILY VATS/DAILY ALLOWANCE STATUS IND 108
FY93 Records	Former President Bush 41	N/A	N/A	Monthly Reports	OPEN ITEMS/DAILY VATS/MONTHLY NEAR REPORTS FUND 106
FY94 Records	Former President Bush 41	N/A	N/A	Monthly Reports	MONTHLY HISTORY/DAILY VATS/ALLOWANCES AND OFFICE STAFF FUND 106
FY95 Records	Former President Bush 41	N/A	N/A	Monthly Reports	FUND 106/MONTHLY ACCTG?DAILY VATS/BUDGET REPORTS
FY96 Records	Former President Bush 41	N/A	N/A	Monthly Reports	STATUS OF FUNDS

Description	Notes	INVOICES/VENDOR
FY1993 George H. W. Bush Transition	Requisitions and Faxes related to cabling service	Bridgeworks Cabling GTSI Government Technology Services, Inc. Compaq Computer
FY1993 George H. W. Bush Transition	Requisitions and Faxes related transition computer service items	Corp
FY1993 George H. W. Bush Transition	Requisitions and Faxes related transition computer service items	N/A
FY1993 George H. W. Bush Transition	RWA Fund 108 Presidential Transition Miltwork & air Conditioning	N/A
FY1993 LBJ	RWA for general maintenance to S.S. Command Post at LBJ ranch	N/A
FY1996 George H. W. Bush	Fund 106 - Rental of Space	N/A
FY1998 George H. W. Bush	Budget Projections	N/A
FY2000 George H. W. Bush	Misc Emails related to Lease Renewal	N/A
FY2000 George H. W. Bush	Fund 106 - Funds Status Reports, Sept 1999 - Jan 2000	N/A
FY2001 George H. W. Bush	Fund 106 - Funds Status Report March 2001	N/A
FY2001 George H. W. Bush	Fund 106 - Funds Status Report April 2001	N/A
FY2001 George H. W. Bush	Fund 106 - Funds Status Report May 2001	N/A
FY2001 George H. W. Bush	Fund 106 - Funds Status Report June 2001	N/A
FY2001 George H. W. Bush	Fund 106 - Funds Status Report July 2001	N/A
FY2004 & FY2005 George H. W. Bush	Rent & Budget Formulation & Issue Papers	N/A
FY2011 George H. W. Bush & George W. Bush	FOIA Requests and related emails	N/A
FY2011 George H. W. Bush OFF 41	Credit Card charges and payments	N/A
FY2011 George H. W. Bush OFF 41	DHS Security Bills	N/A
FY2011 George H. W. Bush OFF 41	Franked Mail	N/A
FY2011 George H. W. Bush OFF 41	Miscellaneous Vouchers	N/A
FY2011 George H. W. Bush OFF 41	Memorandum of Understanding (MOUs) & Contractors	N/A
FY2011 George H. W. Bush OFF 41	Rent Information	N/A
FY2011 George H. W. Bush OFF 41	TOPS Bills	N/A
FY2011 George H. W. Bush OFF 41	Travel Vouchers	N/A
FY2011 George H. W. Bush OFF 41	Misc Emails Feb / Mar 2011	N/A
FY2011 George H. W. Bush OFF 41	Misc Emails Apr/ May 2011	N/A
FY2011 George H. W. Bush OFF 41	Misc Emails Jun / Jul 2011	N/A
FY2011 George H. W. Bush OFF 41	Misc Emails August 2011	N/A
FY2011 George H. W. Bush OFF 41	Misc Emails September 2011	N/A
FY2011 George W. Bush OFF 43	Credit Card charges and payments	N/A
FY2011 George W. Bush OFF 43	DHS Security Bills	N/A
FY2011 George W. Bush OFF 43	Miscellaneous Vouchers	N/A
FY2011 George W. Bush OFF 43	Memorandum of Understanding (MOUs) & Contractors	N/A
FY2011 George W. Bush OFF 43	Rent Information	N/A
FY2011 George W. Bush OFF 43	TOPS Bills	N/A
FY2011 George W. Bush OFF 43	Travel Vouchers	N/A
FY2011 George W. Bush OFF 43	Misc Emails February 2011	N/A
FY2011 George W. Bush OFF 43	Misc Emails Mar / Apr 2011	N/A
FY2011 George W. Bush OFF 43	Misc Emails May / Jun 2011	N/A
FY2011 George W. Bush OFF 43	Misc Emails July 2011	N/A
FY2011 George W. Bush OFF 43	Misc Emails August 2011	N/A
FY2011 George W. Bush OFF 43	Misc Emails September 2011	N/A



Description	Notes	INVOICES/VENDOR
FY2011 George W. Bush OFP 43	Credit Card charges and payments	N/A
FY2011 George W. Bush OFP 43	DHS Security Bills	N/A
FY2011 George W. Bush OFP 43	Miscellaneous Vouchers	N/A
FY2011 George W. Bush OFP 43	Memorandum of Understanding (MOUs) & Contractors	N/A
FY2011 George W. Bush OFP 43	Rent Information	N/A
FY2011 George W. Bush OFP 43	TOPS Bills	N/A
FY2011 George W. Bush OFP 43	Travel Vouchers	N/A
FY2011 George W. Bush OFP 43	Misc Emails February 2011	N/A
FY2011 George W. Bush OFP 43	Misc Emails Mar / Apr 2011	N/A
FY2011 George W. Bush OFP 43	Misc Emails May / Jun 2011	N/A
FY2011 George W. Bush OFP 43	Misc Emails July 2011	N/A
FY2011 George W. Bush OFP 43	Misc Emails August 2011	N/A
FY2011 George W. Bush OFP 43	Misc Emails September 2011	N/A
FY2001 George H. W. Bush	FOIA Requests, Federal Express Statements, Misc Credit Card info	N/A
FY2003 George H. W. Bush	Backup Data for Monthly Status and Reconciliations	N/A

Description	Additional Reference / Description	Notes	INVOICES/VENDOR
MOU between GSA and Office of Former President		December 21, 2000, through July 19, 2001	
Memorandum for GSA Transition Team dtd 10/26/2000	From Dale Helsm, Chief, Procurement Branch	Delegations of Authority for Procurement	
Memorandum for Presidential Transition Support Team Group Leaders dtd 10/26/2000	From June Huber, Coordinator, Presidential Support Team	Presidential Transition Support Team Records	
Letter to Honorable Ernest J. Istook, Chairman, Sub-Committee on Treasury	From Thurman Davis, Acting GSA Administrator	Dated 02/16/2001	
Purchase Order and related emails 262X Fund for Staff parking	ACT # GP0001116	Dated 12/14/2000	Colonial Parking, Washington, DC
GSA Directive	ADM 1080.1C Presidential Transition	Dated 08/08/2007	
GSA Guide to Financial Services and Procedures for the Office of Former President	Transition Period and Beyond		
Telecommunications Procurement	ACT # S13315054	Order Number B1193MEO169	Xerox Corporation
Occupancy Agreement between GSA and Former President's Office			
MOU between GSA and Office of Former President		Dated December 1992	
Region 07 GSA Easy Reference Guide on Who to Contact for Services			
Former Presidents: Office and Security Costs and Other Information	GAO-01-983	Bill Early email dtd 02/26/02	
106th Congress 1st Session	H. R. 3137		
Fax of Proposed Office Space for Former President Clinton	Manhattan, New York	Dated 02/16/2001	
Memorandum for Heads of Services and Staff Offices	From Thurman Davis, Sr., Deputy GSA Administrator	Dated 10/10/2000	
Letter to Bernice Brosius, Accounting Director, Office of Finance	From June Huber, Coordinator, Presidential Support Team	Dated 02/27/2001	
Transition Notes and GSA Order	Subject: Presidential Transition	Dated 01/27/1997	
Memorandum to Gay McKenzie, Deputy Director, Real Estate Division	From Mike Larivee, Contracting Officer	Dated 12/22/1992	
Memorandum for William Stanton, Director, Accounting Systems Division and Others	From Dennis Schroff, Director, FSS and Staff Accounting	Dated 12/23/1992	
Memorandum to Nancy Potter, Acting Director of Budget	From Arlene Schley, Acting Regional Administrator	Dated 05/13/1993	
Former President Bush Fund 106	Guidance / Information / and Legal Issues Notebook	Prepared by GSA Budget Division	
Fund 106 FY93 - FY03 Budget Formulation & Information Notebook Former President Bush	FY03 Formulation		
Fund 106 FY93 - FY03 Budget Formulation & Information Notebook Former President Bush	FY02 Formulation		
Fund 106 FY93 - FY03 Budget Formulation & Information Notebook Former President Bush	FY00-FY01 Formulation		
Fund 106 FY93 - FY03 Budget Formulation & Information Notebook Former President Bush	FY99-FY00 Formulation		
Fund 106 FY93 - FY03 Budget Formulation & Information Notebook Former President Bush	FY98 Budget Formulation		
Fund 106 FY93 - FY03 Budget Formulation & Information Notebook Former President Bush	FY97 Budget Formulation		
Fund 106 FY93 - FY03 Budget Formulation & Information Notebook Former President Bush	FY97 Allowance Call		
Fund 106 FY93 - FY03 Budget Formulation & Information Notebook Former President Bush	FY96 Allowance Call		
Fund 106 FY93 - FY03 Budget Formulation & Information Notebook Former President Bush	Congressional Justifications FY98-FY93		
Fund 106 FY93 - FY03 Budget Formulation & Information Notebook Former President Bush	Executive Orders FY93		
FY03 Fund 106 Former President Bush	Salaries and Benefits PAR Notebook		
FY03 Fund 106 Former President Bush	Allowance / Status of Funds / Logs by OB / NEAR Rpts / FMIS Rpts	March - September 03	
FY02 Fund 106 Former President Bush	Reconciled Costs by Obj Class	02/19/2002	
FY02 Fund 106 Former President Bush	Credit Card Logs		
FY02 Fund 106 Former President Bush	Misc Vouchers Melinda Lamoreaux		
FY02 Fund 106 Former President Bush	IT Purchase		
FY02 Fund 106 Former President Bush	Invoices		Skytel
FY02 Fund 106 Former President Bush	Mary Sage Memos		
	Obligating Documents		

Description	Additional Reference / Description	Notes
FY02 Fund 106 Former President Bush	Postage	
FY02 Fund 106 Former President Bush	Space Rental	
FY02 Fund 106 Former President Bush	Telecommunications	
FY02 Fund 106 Former President Bush	Transmittals	
FY02 Fund 106 Former President Bush	Travel	
FY02 Fund 106 Former President Bush	Xerox	
FY02 First Lady Johnson	NEAR system Status of Funds	
FY03 FP Bush	Memos From Mary Sage	
FY03 FP Bush	Obligating Documents	
FY03 FP Bush	Space Rental	
FY03 FP Bush	Telecommunications	
FY03 FP Bush	Transmittals	
FY01 FP Bush	GAO Audit	Dated 05/07/01
FY04/FY05 FP Bush 41	Space Rental	
FY05 Bush 41	Credit Card Logs	
FY05 Bush 41	FedEx	
FY09 Bush41	Presidential Transition Budget Request	Funding Transition History
FY09 Bush41	Presidential Transition Budget Request	Space Transition History
FY09 Bush41	Presidential Transition Budget Request	Memorandums of Understandings
FY09 Bush41	Presidential Transition Budget Request	Waiver Transition History
FY09 Bush41	Requests for Purchasing of Goods and Services	Presidential Transition Purchases

Description	Additional Reference / Description	Notes
FY05 FP Bush 41	Notice from Mary Sage re IMPAC VISA Charges	Through December 2005
FY06 FP Bush 41	Notice from Mary Sage re IMPAC VISA Charges	Through March 2006
FY06 FP Bush 41	Notice from Mary Sage re IMPAC VISA Charges	Through August 2006
FY06 FP Bush 41	Notice from Mary Sage re IMPAC VISA Charges	Through September 2006
FY06 FP Bush 41	Notice from Mary Sage re IMPAC VISA Charges	Through October 2006
FY06 FP Bush 41	Notice from Mary Sage re IMPAC VISA Charges	Through November 2006
FY06 FP Bush 41	Notice from Mary Sage re IMPAC VISA Charges	Through December 2006
FY07 FP Bush 41	Notice from Mary Sage re IMPAC VISA Charges	Through April 2007
FY07 FP Bush 41	Notice from Mary Sage re IMPAC VISA Charges	Through May 2007
FY07 FP Bush 41	Notice from Mary Sage re IMPAC VISA Charges	Through June 2007
FY07 FP Bush 41	Notice from Mary Sage re IMPAC VISA Charges	Through September 2007
FY07 FP Bush 41	Notice from Mary Sage re IMPAC VISA Charges	Through November 2007
FY08 FP Bush 41	Notice from Mary Sage re IMPAC VISA Charges	Through June 2008
FY09 FP Bush 41	Copies of Timesheets from Julie Jensen in HR Accounting Handbook for the Office of Former President George Bush	Dated 05/04/09
FY93 FP Bush 41		GSA Office of Finance
FY93 FP Bush 41	Fiscal Year 1993 Year-End Closing Procedures	GSA, Office of Finance, External Services Branch
FY93 FP Bush 41	14A35 Former President Bush - General	
FY93 FP Bush 41	14A35 Operating Budget-Fund 106 Former President Bush B/A 10	
FY93 FP Bush 41	ACT Labels - Former President Bush Fund 106	
FY93 FP Bush 41	14A35 Transition of Former President Bush - General	
FY93 FP Bush 41	Telecommunication Services - Former President's Fund - 106	
FY93 FP Bush 41	Documents Processed by ACT Number- Former Presidents Fund 106	
FY93 FP Bush 41	Salary Projections - Former Presidents Fund - 106	
FY93 FP Bush 41	Personnel Actions-Transition of Former President Bush	
FY93 FP Bush 41	14A35 Budget Call-Fund 106 Former President Bush	
FY93 FP Bush 41	Travel-Fund 106-Office of Former President Bush	
FY93 FP Bush 41	Transition of Former President Bush-Salary Information & Projections	
FY93 FP Bush 41	Personnel Actions-Former President Bush	
FY93 FP Bush 41	14A35 Operating Budget-Fund 108 Transition of Former President B/A 10	
FY93 FP Bush 41	Telecommunication Services - Former President's Fund - 108	

Description	Additional Reference / Description	Notes	INVOICES/VENDOR/ Additional Notes
FY93 FP Bush 41	Postage - Former President George Bush		
FY93 FP Bush 41	Postage - Former President George Bush		
FY93 FP Bush 41	ACT Numbers - Presidential Transition Fund 108		
FY93 FP Bush 41	Former President Bush - General Information		
FY93 FP Bush 41	Travel-Transition Fund 108-Office of Former President Bush		
FY93 FP Bush 41	Miscellaneous Transition Papers	Purchase Orders for multiple vendors	Chas. P. Young Co.
FY93 FP Bush 41	Miscellaneous Transition Papers	Purchase Orders for multiple vendors	Compaq Computers
FY93 FP Bush 41	Miscellaneous Transition Papers	Purchase Orders for multiple vendors	Datatech, Inc
FY93 FP Bush 41	Miscellaneous Transition Papers	Purchase Orders for multiple vendors	FedEx
FY93 FP Bush 41	Miscellaneous Transition Papers	Purchase Orders for multiple vendors	Hartwells Office World
FY93 FP Bush 41	Miscellaneous Transition Papers	Purchase Orders for multiple vendors	Hon Industries
FY93 FP Bush 41	Miscellaneous Transition Papers	Purchase Orders for multiple vendors	International Autopen
FY93 FP Bush 41	Miscellaneous Transition Papers	Purchase Orders for multiple vendors	Lexmark
FY93 FP Bush 41	Miscellaneous Transition Papers	Purchase Orders for multiple vendors	New England Telephone
FY93 FP Bush 41	Miscellaneous Transition Papers	Purchase Orders for multiple vendors	Southwestern Bell
FY93 FP Bush 41	Miscellaneous Transition Papers	Purchase Orders for multiple vendors	Southwood Furniture Co
FY93 FP Bush 41	Miscellaneous Transition Papers	Purchase Orders for multiple vendors	Steeccase, Inc
FY93 FP Bush 41	Miscellaneous Transition Papers	Purchase Orders for multiple vendors	UPS
FY93 FP Bush 41	Miscellaneous Transition Papers	Purchase Orders for multiple vendors	USA Today
FY93 FP Bush 41	Miscellaneous Transition Papers	Purchase Orders for multiple vendors	US News & World Report
FY93 FP Bush 41	Miscellaneous Transition Papers	Purchase Orders for multiple vendors	Waner Cable
FY93 FP Bush 41	Miscellaneous Transition Papers	Misc Vouchers and Travel Costs for staff	
FP Bush 41	Former Presidents' Fund 106 Notebook prepared by GSA Budget Div	Fiscal Year Status Reports	Fund 106, September 1993
FP Bush 41	Former Presidents' Fund 106 Notebook prepared by GSA Budget Div	Fiscal Year Status Reports	Fund 106, September 1994
FP Bush 41	Former Presidents' Fund 106 Notebook prepared by GSA Budget Div	Fiscal Year Status Reports	Fund 106, September 1995
FP Bush 41	Former Presidents' Fund 106 Notebook prepared by GSA Budget Div	Fiscal Year Status Reports	Fund 106, September 1996
FP Bush 41	Former Presidents' Fund 106 Notebook prepared by GSA Budget Div	Fiscal Year Status Reports	Fund 106, September 1997
FP Bush 41	Former Presidents' Fund 106 Notebook prepared by GSA Budget Div	Fiscal Year Status Reports	Fund 106, September 1998
FP Bush 41	Former Presidents' Fund 106 Notebook prepared by GSA Budget Div	Fiscal Year Status Reports	Fund 106, September 1999
FP Bush 41	Former Presidents' Fund 106 Notebook prepared by GSA Budget Div	Fiscal Year Status Reports	Fund 106, September 2000
FP Bush 41	Letter from Office Manager Mary Sage with copies	Copy of Log Visa, FedEx charges and Invoices Paid	November 2008
FP Bush 41	Letter from Office Manager Mary Sage with copies	Copy of Log Visa, FedEx charges and Invoices Paid	December 2008
FP Bush 41	Letter from Office Manager Mary Sage with copies	Copy of Log Visa, FedEx charges and Invoices Paid	January 2009

FP Bush 41	Letter from Office Manager Mary Sage with copies	Copy of Log Visa, FedEx charges and Invoices Paid	February 2009
FP Bush 41	Letter from Office Manager Mary Sage with copies	Copy of Log Visa, FedEx charges and Invoices Paid	March 2009
FP Bush 41	Letter from Office Manager Mary Sage with copies	Copy of Log Visa, FedEx charges and Invoices Paid	April 2009
FP Bush 41	Letter from Office Manager Mary Sage with copies	Copy of Log Visa, FedEx charges and Invoices Paid	May 2009
FP Bush 41	Letter from Office Manager Mary Sage with copies	Copy of Log Visa, FedEx charges and Invoices Paid	June 2009
FP Bush 41	Letter from Office Manager Mary Sage with copies	Copy of Log Visa, FedEx charges and Invoices Paid	July 2009
Presidential Transitions	Presidential Transition 2008	Players "Dance Card"	June 2008
Presidential Transitions	Presidential Transition & Inaugural	Steering Committee Meeting	January 2008
Presidential Transitions	Agenda Draft	Presidential Transition	January 1993
Presidential Transitions	Draft GSA Outgoing Presidential Transition Budget	Reg7 Budget Office	December 2008
Presidential Transitions	Outgoing Transition	Sharepoint email	2008
Presidential Transitions	Questions and Answers material regarding transition	Misc email	January 2001
Presidential Transitions	Questions and Answers material regarding transition	Memorandum from counsel	January 2001
Presidential Transitions	Questions and Answers material regarding transition	Memorandum from Human Capital Officer	September 2008
Presidential Transitions	Questions and Answers material regarding transition	Letter from Vice-President Chief of Staff	February 2008
Presidential Transitions	Questions and Answers material regarding transition	Designations of Authority	1988-2000
Presidential Transitions	Questions and Answers material regarding transition	T1 FY09 Review	FY09 Reserve Analysis, CO Budget, Managers' Budget
Presidential Transitions	Checklist for Vacating Office Space during a Presidential Transition		
Presidential Transitions	Checklist for Real Estate Services		
Presidential Transitions	Checklist for IT Services		
Presidential Transitions	Purchase Order	Brook Furniture Rental	January 2009
Presidential Transitions	Purchase Order	Distinctive Stationary	April 2009
Presidential Transitions	Checklist for Fleet Vehicle Support Services		
Presidential Transitions	Checklist for Furniture		
Presidential Transitions	Checklist for Office Supplies		
Presidential Transitions	MOU between GSA and Office of Former President		
Presidential Transitions	Sherry Lane Place Contractor Rules and Regulations		
Presidential Transitions	Memorandum from GSA Chief Financial Office		
Presidential Transitions	Purchase Procedures for the Former President's Office		
Presidential Transitions	Presidential Transition Office Staff Travel SOP		
Presidential Transitions	GSA Directive	ADM 1080.1C Presidential Transition	Expires 08/08/2017
Presidential Transitions	Presidential Transition Act of 1963	Public Law 88-277	
Presidential Transitions	Allowances and Office Staff for Former Presidents	Fiscal Year 2009 Budget Request	
Presidential Transitions	CRS Report for Congress	Presidential Transition	February 11, 2008
Presidential Transitions	Vice-President's Travel	GSA Forms 87	2009
Presidential Transitions	Requests for Purchasing Goods and Services		2008
Presidential Transitions	Presidential Staff PAR Reports		
FP Bush 43	Fed Ex Docs		2009

President	Additional Reference / Description	INVOICES/VENDOR/Additional Notes
FP Bush 41	8H25B-24-1-6-1 FY00 Obligating Documents 1st Qtr.	AT&T Invoices
FP Bush 41	8H25B-24-1-6-2 FY00 Obligating Documents 2nd Qtr.	AT&T Invoices
FP Bush 41	8H25B-24-1-6-3 FY00 Obligating Documents 3rd Qtr.	AT&T Invoices
FP Bush 41	8H25B-24-1-6-4 FY00 Obligating Documents 4th Qtr.	AT&T Invoices
FP Bush 41	8H25B-24-1-2 FY00 Travel	
FP Bush 41	8H25B-24-1-1 FY01 General	
FP Bush 41	8H25B-24-1-1 FY01 Phones	
FP Bush 41	8H25B-24-1-5 FY01 Allowances	
FP Bush 41	8H25B-24-1-12 FY01 Credit Cards	
FP Bush 41	8H25B-24-1-11 FY01 Telecommunications	
FP Bush 41	8H25B-24-1-2 FY01 Travel	
FP Bush 41	8H25B-24-1-3 FY01 Salary	
FP Bush 41	Bush Inventory List	
FP Bush 41	8H25B-24-9 FY01 Space Rental	
FP Bush 41	8H25B-24-1-10 FY01 Postage	
FP Bush 41	8H25B-24-1-6-1 FY01 Obligating Documents 1st Qtr.	
FP Bush 41	8H25B-24-1-6-3 FY01 Obligating Documents 3rd Qtr.	
FP Bush 41	8H25B-24-1-7-1 FY01 Transmittals All Qtr.	
N/A	MOU between GSA and Office of President Elect	1992
FP Clinton	8H25B-24-3 Lease Information & Misc Emails	1999
FP Bush 41	Southwestern Bell Internet Information FY01	



President	Description	Additional Notes
FP Bush 43	Notebook Outgoing Presidential Transition	Tab 1 Primary Outgoing Transition Team Listing
FP Bush 43	Notebook Outgoing Presidential Transition	Tab 2 Outgoing Transition Team Listing - GSA
FP Bush 43	Notebook Outgoing Presidential Transition	Tab 3 Outgoing Transition Team listing - Staff
FP Bush 43	Notebook Outgoing Presidential Transition	Tab 4 Berkshire Outgoing Transition Team Listing
FP Bush 43	Notebook Outgoing Presidential Transition	Tab 5 Jackson Place Outgoing Transition Team Listing
FP Bush 43	Notebook Outgoing Presidential Transition	Tab 6 VP-McLean outgoing Transition Team Listing
FP Bush 43	Notebook Outgoing Presidential Transition	Tab 7 Additional Listings
FP Bush 43	Notebook Outgoing Presidential Transition	Tab 8 Delegations of Authority
FP Bush 43	Notebook Outgoing Presidential Transition	Tab 9 MOUs
FP Bush 43	Notebook Outgoing Presidential Transition	Tab 10 Meeting Agenda's/Listings/West Wing Tour List
FP Bush 43	Notebook Outgoing Presidential Transition	Tab 11 Limited Acquisition Plans
FP Bush 43	Notebook Outgoing Presidential Transition	Tab 12 Occupancy Agreement
FP Bush 43	Notebook Outgoing Presidential Transition	Tab 13 Presidential Transition of Ronald Reagan
FP Bush 43	Notebook Outgoing Presidential Transition	Tab 14 Checklist/Timelines/Q&A
FP Bush 43	Notebook Outgoing Presidential Transition	Tab 15 Letter from Jim Williams
FP Bush 43	Notebook Outgoing Presidential Transition	Tab 16 Restoration of Annual Leave Letter
FP Bush 43	Notebook Outgoing Presidential Transition	Tab 17 Presidential Act of 2000
FP Bush 43	Notebook Outgoing Presidential Transition	Tab 18 GSA Directive-ADM 1080.1C Presidential Transition
FP Bush 43	Notebook Outgoing Presidential Transition	Tab 19 Miscellaneous
FP Bush 43	Notebook Outgoing Presidential Transition	Budget Approval Documents Sherry/Travel/Overall Costs
FP Bush 43	Notebook Outgoing Presidential Transition	Budget Approval Documents Jackson Place and All VP Approvals
FP Bush 43	Notebook Outgoing Presidential Transition	Budget Approval Documents Berkshire
FP Reagan	Notebook Presidential Transition of Ronald Reagan	1989
FP Bush 41	ACT Labels	Fund 106 FY96
FP Bush 41	Budget Call 106	FY96
FP Bush 41	General Correspondence	FY96
FP Bush 41	14A50 Obligating Documents by ACT#	1st Qtr. Fund 106 FY96
FP Bush 41	14A50 Obligating Documents by ACT#	2nd Qtr. Fund 106 FY96
FP Bush 41	14A35 Operating Budget Fund 106	FY96
FP Bush 41	9C4 Policy and Precident Files	FY96
FP Bush 41	14A50 Transmittals	1st Qtr. Fund 106 FY96
FP Bush 41	14A50 Transmittals	2nd Qtr. Fund 106 FY96
FP Bush 41	11B25-8 Budget Submission	FY97
FP Bush 41	11B25-6 Obligating Documents - PIX	FY97
FP Bush 41	11B25-6 Obligating Documents	4th Qtr FY97
FP Bush 41	11B25-10 Postage	FY97
FP Bush 41	11B25-9 Space Rental	FY97
FP Bush	11B25-11 Telecommunications	FY97



President	Description	Additional Notes
FP Bush 41	11B25-17 Transmittals	1st and 2nd Qtr. FY97
FP Bush 41	11B25-7a Transmittals	3rd and 4th Qtr. FY97
FP Bush 41	ACT Labels	FY98 / FY99
FP Bush 41	8H25B-27-5 Allowance	FY99
FP Bush 41	8H25B-27-8 Budget Submission	FY99
FP Bush 41	8H25B-27-12 Credit Card	FY99
FP Bush 41	8H25B-27-1 General Documents	FY99
FP Bush 41	8H25B-27-6-1 Obligating Documents S81298954-S85426489	1st Qtr. FY99
FP Bush 41	8H25B-27-6-2 Obligating Documents	2nd Qtr. FY99
FP Bush 41	8H25B-7-6-3 Obligating Documents	3rd Qtr. FY99
FP Bush 41	8H25B-27-6-4 Obligating Documents	4th Qtr. FY99
FP Bush 41	8H25B-27-4 Personnel	FY99
FP Bush 41	8H25B-27-10 Postage	FY99
FP Bush 41	8H25B-27-3 Salary	FY99
FP Bush 41	8H25B-27-9 Space Rental	FY99
FP Bush 41	8H25B-27-2 Travel	FY99
FP Bush 41	8H25B-27-11 Telecommunications	FY99
FP Bush 41	8H25B-27-7-1 Transmittals	1st Qtr. FY99
FP Bush 41	8H25B-27-7-2 Transmittals	2nd Qtr. FY99
FP Bush 41	8H25B-27-7-3 Transmittals	3rd Qtr. FY99
FP Bush 41	8H25B-27-7-4 Transmittals	4th Qtr. FY99
First Lady Johnson	8H25B-24-2 Centralized Charges for Allowances	FY00
First Lady Johnson	Postage	FY00

President	Description	Additional Notes
FP Bush 41	8H25B-24-1-5 Allowance	FY00
FP Bush 41	8H25B-24-1-12 Credit Card	FY00
FP Bush 41	8H25B-24-1-1 General Documents	FY00
FP Bush 41	8H25B-24-1-4 Personnel	FY00
FP Bush 41	8H25B-24-1-10 Postage	FY00
FP Bush 41	8H25B-24-1-3 Salary	FY00
FP Bush 41	8H25B-24-9 Space Rental	FY00
FP Bush 41	Status Reports / VAT Pulls	FY00
FP Bush 41	8H25B-24-1-7-1 Transmittals	1st Qtr. FY00
FP Bush 41	8H25B-24-1-7-2 Transmittals	2nd Qtr. FY00
FP Bush 41	8H25B-24-1-7-3 Transmittals	3rd Qtr. FY00
FP Bush 41	8H25B-24-1-7-4 Transmittals	4th Qtr. FY00
FP Bush 41	11B25-8 Budget Submission	FY98
FP Bush 41	11B25-1 General Documents	FY98
FP Bush 41	11B25-6 Obligating Documents - PIX	FY98
FP Bush 41	11B25-6 Obligating Documents S69007374-S69008043	1st Qtr. FY98
FP Bush 41	11B25-6 Obligating Documents S69008056-S69008690	2nd Qtr. FY98
FP Bush 41	11B25-6 Obligating Documents S69008700-S81298352	3rd Qtr. FY98
FP Bush 41	11B25-6 Obligating Documents	4th Qtr. FY98
FP Bush 41	11B25-4 Personnel	FY98
FP Bush 41	11B25-10 Postage	FY98
FP Bush 41	11B25-3 Salary	FY98
FP Bush 41	11B25-9 Space Rental	FY98
FP Bush 41	11B25-10 Telecommunications	FY98

President	Description	Additional Notes
FP Bush 41	11B25-7 Transmittals	1st Qtr. FY98
FP Bush 41	11B25-7 Transmittals	2nd Qtr FY98
FP Bush 41	11B25-7 Transmittals	3rd Qtr. FY98
FP Bush 41	11B25-7 Transmittals	4th Qtr. FY98
FP Bush 41	11B25-2 Travel	FY98
FP Bush 41	Notebook Former President - Fund 106 - Funds Status Reports	FY95 thru FY99
FP Bush 41	Notebook - Emails related to end of 5 year period lease	FY96 and FY97
FP Bush 41	Notebook - Inventory of Equipment	FY92 and FY93
FP Bush 41	14A50 Obligating Documents by ACT# - Fund 106 - S51349422-S51349707	3rd Qtr. FY96
FP Bush 41	14A50 Obligating Documents by ACT# - Fund 106 - S51349956-S56968413	4th Qtr. FY96
FP Bush 41	14A50 Personnel Actions - Fund 106	FY96
FP Bush 41	14A50 Postage - Fund 106	FY96
FP Bush 41	14A50 Printing - Fund 106	FY96
FP Bush 41	14A50 Salary Projections - Fund 106	FY96
FP Bush 41	14A50 Telecommunications - Fund 106	FY96
FP Bush 41	14A50 Transmittals - Fund 106	3rd Qtr. FY96
FP Bush 41	14A50 Transmittals - Fund 106	4th Qtr. FY96
FP Bush 41	14A50 Travel - Fund 106	FY96

President	Description	Additional Notes
FP Bush 41	11B25 Presidential Case Files - Transition Notes	FY97
FP Bush 41	ACTS Labels - Fund 106	FY97
FP Bush 41	11B25-5 Allowance	FY97
FP Bush 41	11B25-1 General Documents	FY97
FP Bush 41	11B25-6 Obligor Documents S56968277-S56968798	1st Qtr. FY97
FP Bush 41	11B25-6 Obligor Documents S56968808-S63294413	2nd Qtr. FY97
FP Bush 41	11B25-6 Obligor Documents S63294426-S63294963	3rd Qtr. FY97
FP Bush 41	11B25-4 Personnel	FY97
FP Bush 41	11B25-3 Salary	FY97
FP Bush 41	11B25-2 Travel	FY97

President		Description	
FP Bush 41		1994 Budget Files	

President	Description	
FP Bush 41	1995 Budget Files	

President			Description		
FP Bush 41			2008 - 2010 Notes & Expenses		
FP Bush 41 and FP 43			Budget Notes FY10		
FP Bush 41 and FP 43			VISA and FEDEX Expenses 2005 - 2007		

## 269.5 Civilian Board of Contract Appeals Program Records

This group describes program records accumulated by the Civilian Board of Contract Appeals (Board). These records are created as a result of hearing, considering, and determining appeals from decisions by contracting officers and other types of cases within the jurisdiction of the Board. This group does not apply to records retained in offices of Contracting Officers.

RECORD SYMBOL	DESCRIPTION OF RECORD	AUTHORIZED DISPOSITION
011	<p><b>Appeals Case Files.</b> Case files concerning appeals from contracting officer final decisions arising under the Contract Disputes Act, 41 U.S.C. §§ 7101-7109; disputes between insurance companies and the Department of Agriculture's Risk Management Agency involving actions of the Federal Crop Insurance Corporation under 7 U.S.C. § 1501 et seq.; cases arising under the Indian Self-Determination Act, 25 U.S.C. § 450 et seq.; and applications by prevailing private parties for recovery of litigation costs under the Equal Access to Justice Act, 5 U.S.C. § 504.</p> <p>Appeals case files consist of those documents that constitute the record upon which any decision of the Board is based, including notices of appeal, exhibits, complaints, answers, motions and other pleadings, orders, correspondence with and between the parties, transcripts of hearings, and anything else the Board may designate.</p>	Temporary. Cut off following disposition of case. Destroy 5 years after cutoff.
021	<p><b>Claims Case Files.</b> Case files concerning claims by Federal civilian employees under 31 U.S.C. § 3702 for reimbursement of official temporary duty travel or in connection with relocation to a new duty station; advance decisions on related matters under 31 U.S.C. § 3529; and claims by carriers or freight forwarders under 31 U.S.C. § 3726(i)(1) involving actions of the GSA regarding payment for transportation services and similar matters.</p> <p>Claims case files consist of copies of those documents that constitute the record upon which any decision of the Board is based, including exhibits, pleadings, orders, correspondence with and between the parties, and anything else the Board may designate.</p>	Temporary. Cut off following disposition of case. Destroy 5 years after cutoff.



031	<p><b>Alternative Dispute Resolution Case Materials.</b> Case materials concerning alternative dispute resolution (ADR) activities of the Board. ADR includes mediation and arbitration in both binding and non-binding procedures as elected by the parties to the particular dispute. ADR is conducted by the Board under the provisions of the Contract Disputes Act at 41 USC § 7103, and the Administrative Dispute Resolution Act of 1990 (ADR Act), as amended, 5 U.S.C. § 571 et seq.</p> <p>ADR case materials consist of all documents created by the Board or submitted to it in connection with an ADR proceeding and may include ADR agreements, settlement agreements, exhibits, pleadings, position papers, orders, correspondence with and between the parties, and anything else the Board may designate.</p>	<p>Temporary. Cut off following conclusion of ADR activity; destroy immediately.</p> <p>NOTE: If ADR is related to pending case at the Board, all ADR materials are kept separate from the case files and destroyed immediately at the completion of the ADR pursuant to confidentiality requirements for dispute resolution communications under the ADR Act, 5 U.S.C. § 571 et seq.</p>
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*Guide to*  
**Washington National  
Records Center  
Services**

February 3, 2012

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# **GUIDE TO WASHINGTON NATIONAL RECORDS CENTER SERVICES**

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# GUIDE TO WASHINGTON NATIONAL RECORDS CENTER SERVICES

This guide describes the major services and programs of the Washington National Records Center (WNRC), administered by the National Archives and Records Administration (NARA).

See <http://www.archives.gov/frc/index.html> for additional information.

## ABOUT WNRC

### Background

The National Archives and Records Administration (NARA) operates a system of regional records services facilities, including the Washington National Records Center (WNRC), for the economical storage of and services for noncurrent records of Federal agencies, pending disposition of the records in the National Archives of the United States or other disposition authorized by law. Noncurrent records are records that are no longer required for daily business. The authorization for this Government-wide program is 44 U.S.C. 2903, 2907, and 3103.

The mission of NARA's regional facilities system is to assist agencies in the efficient management of their records. NARA's records storage facilities save space and money. Five times as many records per square foot can be stored in NARA's storage space as in the equivalent agency office space. Contact the account representative for your agency at <http://www.archives.gov/frc/acct-reps.html> for information about the cost of storage.

### WNRC General Information

**Area Served:** District of Columbia, Maryland, Virginia, West Virginia, and armed forces worldwide, except records of the Federal courts of Maryland, Virginia, and West Virginia

**Hours of Operation:** 8 a.m. to 4:30 p.m., Eastern Time

**Mailing Address:** Washington National Records Center  
4205 Suitland Road  
Suitland, MD 20746-8001

**Internet:** <http://www.archives.gov/dc-metro/suitland/>

**E-mail Address:** [suitland.center@nara.gov](mailto:suitland.center@nara.gov)

## **WNRC Organization**

The following are the WNRC units with which Federal agency personnel may have contact:

**Office of the Director.** Overall WNRC direction and policy matters.  
Telephone 301-778-1600.

**Transfer and Disposition (T&D) Branch.**  
Technical matters relating to disposition and processing of Standard Form 135.  
Telephone 301-778-1650. Fax 301-778-1553.

**Control Section.** Pickup of incoming transfers (accessions) throughout the Washington metropolitan area. Telephone 301-778-1550.

**Reference Services Branch.** Reference on records, including retrieval, refiling, and interfiling. Telephone 301-778-1510. Fax 301-778-1501.

## **Workshops**

The WNRC regularly offers a free 3-hour workshop entitled "Using Washington National Records Center Services." Contact the T&D Branch for details at 301-778-1650 or *suitland.center@nara.gov*.

## **PREPARING RECORDS FOR TRANSFER TO THE WNRC**

The WNRC will accept textual records and non-textual records such as microforms and audiovisual records. Microforms must follow the film and image requirements specified in 36 CFR 1230. Audiovisual records must follow the requirements specified in 36 CFR 1228.266. Electronic records must follow the requirements specified in 36 CFR 1228.270.

The WNRC will accept temporary and permanent paper-based records and records on non-paper media such as microfilm and Mylar. The WNRC will accept for storage temporary records on other non-paper media such as audio cassettes, VHS tapes, CDs and DVDs. Some non-paper based media may not be suitable for storage in WNRC.

**Do not** routinely mix non paper-based records with paper records. The WNRC will accept for storage some mixed media short-term temporary records, but because mixed media records cannot be recycled without screening, the records center will apply additional charges at the time of disposal. Describe the non-paper media on the Standard Form 135. Failure to do so may result in improper storage for the media.

Sort your records:

1. Remove all non-record material (U.S. Government-owned informational materials excluded from the legal definition as specified in 44 USC 3301 or not meeting the requirements of that definition) and extra copies of records from official files.
2. **Identify and separate your records into series by the series title and number from your records schedule.** Each item or subordinate item in your records schedule represents a series.
3. Order the records by closing or cutoff year and the particular numerical, alphabetical, chronological, or other identifiable sequence for that series.
4. Note the inclusive or cutoff dates of the records in that transfer. One transfer may contain multiple years of records in one series.
5. Transfer each series separately. Each transfer must be at least one standard records box or other standard container. Loose papers or files will not be accepted.

### **Records Not Accepted for Transfer to the WNRC**

The WNRC will not accept for storage permanent or unscheduled electronic media or contaminated records. For transfer of permanent electronic records to the National Archives, contact Margaret Adams at [Margaret.adams@nara.gov](mailto:Margaret.adams@nara.gov) or 301-837-1474.

### **Packing the Records**

Agencies are required to use the approved boxes listed below. Use the proper size box when packing records. For legal- and letter-size material, use standard-size boxes. Use half-size or other boxes only for microfilm, index cards, or other odd-size material. Contact the WNRC for

assistance in selecting the proper container for odd-size material. For instruction on assembling the standard-size box, see Figure 1, *FRC Box Assembly Instructions*, p. 16.

Pack the boxes as if they were file drawers. They should be in the same order in which they are maintained in active files. Place letter-size records in the box with labels facing the numbered end opposite the stapled end. Place legal-size records in the box so that the labels face the left of the box as you face the numbered end. Leave at least 1 inch of space in each box for working the files (more if interfiles will be added later). Leave all guides and tabs in the records if they will help WNRC personnel service the records.

**Do not over-pack the boxes.** Never add additional material on the bottom, side, or top of the records in the box. All documents must be in labeled folders. Include no loose documents or ring binders. Each box must be at least 3/4 full.

### **Required Material for Records Transfer and Reference**

The following materials can be obtained from the General Services Administration (GSA). Contact GSA on 1-800-525-8027 or [www.gsaadvantage.gov](http://www.gsaadvantage.gov) using the keywords or NSN numbers to order.

#### ***Standard-size record box for legal- or letter-size files:***

14 3/4" X 12" X 9 1/2"	NSN 8115-00-117-8249
------------------------	----------------------

#### ***Special-purpose boxes:***

Half-size box

14 3/4" X 9 1/2" X 4 7/8"	NSN 8115-00-117-8338
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Magnetic tape box

14 3/4" X 11 3/4" X 11 3/4"	NSN 8115-00-117-8347	(Lock bottom)
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Microfiche box

14 3/4" X 6 1/2" X 4 1/2"	(Special Order - GSA)
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Microfiche box (archival)

14 3/4" X 6 1/2" X 5"	(Local Purchase – GSA)
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X-ray box

18" X 15" X 5 1/2"	NSN 8115-00-290-3386
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#### ***Other materials:***

Filament tape	NSN 7510-00-159-4450
---------------	----------------------

Standard Form 135	NSN 7540-00-634-4093
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Standard Form 135-A	NSN 7540-00-823-7952
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Felt-tip marker	NSN 7520-00-973-1059
-----------------	----------------------

Optional Form 11	NSN 7540-00-682-6423
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## Preparing Standard Form 135

Send a completed Standard Form (SF) 135, *Records Transmittal and Receipt*, to the WNRC for approval **before** shipping records. These forms are used for control purposes. A **separate SF 135 is required for each series** of temporary, permanent, or unscheduled records. You may send the SF 135 by mail, by FAX, or as an e-mail attachment. You can obtain an electronic version of the SF 135 at <http://www.archives.gov/frc/forms/>. You may send electronic box and folder title lists as a separate attachment. The WNRC will accept electronic SFs 135 without original signatures. See Figure 2, *Sample SF 135*, p. 17.

### SF 135 Item Instructions

For instructions on completing the SF 135, see the reverse side of the form or at <http://www.archives.gov/frc/forms/sf-135-general-instructions.html>.

#### Note especially the following:

**Item 3 (Agency Contact):** Provide the name, email address, and commercial telephone number, including area code, of the person to contact concerning the records.

**Item 4 (Records Center Receipt):** This item is reserved for WNRC use.

**Item 5 (From):** Give the transferring office's complete mailing address. The Customer Reference Number may also be entered at the top of item 5.

**Item 6(a)-6(c) (Accession Number):** The transfer (accession) number (6c) is assigned by ARCIS when WNRC enters the SF 135 into ARCIS. The agency should only fill out 6(a) and 6(b).

**Item 6(d) (Volume):** A standard-size box equals 1 cubic foot, and a half-size box equals 1/2 cubic foot. A full letter-size file drawer is approximately 1.5 cubic feet; a full legal-size file drawer is approximately 2 cubic feet. If the records do not fit in a standard records center box, leave this column blank and add the dimensions of the container to item 6(f).

**Item 6(f) (Series Description):** For scheduled records include the series title, the closing date or inclusive dates of the records, and the organizational component that created the records when it is other than that shown in item 5.

For unscheduled records, the NARA website describes the additional information WNRC requires. See <http://www.archives.gov/frc/unscheduled-records-faqs.html>.

For all records, you must indicate in this section if the records are *subject to the Privacy Act*. You must include the appropriate codes for all non-paper based media from the list below.

Do not routinely mix non paper-based records in the same transfer (accession) with paper records. The WNRC will accept mixed media short-term temporary records only. Describe the non-paper media in this item, using the correct nontextual codes. Because mixed media records cannot be recycled without screening, the records center will apply additional charges at the time of disposal.

***Special description requirements for certain records:***

***Agencies that have requested stratified billing.*** Include the billing code at the beginning of the series description.

***Site Audit Records.*** State "GAO Site Audit" if the records have been so designated by the General Accounting Office and state whether the site audit records do or do not pertain to American Indians.

***Nontextual Records.*** Descriptions of nontextual records must include the nontextual code. See the following list of codes.

<b>CODES</b>	<b>DESCRIPTION</b>
ARF	ARTIFACTS (INCLUDE MUSEUM ITEMS)
AVM	AUDIOVISUAL MATERIAL
BND	BOUND VOLUMES
DRA	ARCHITECTURAL AND ENGINEERING DRAWINGS
EDD	ELECTRONIC DATA PROCESSING, FLEXIBLE DISKS
EDH	ELECTRONIC DATA PROCESSING, HARD DISKS
EDO	ELECTRONIC DATA PROCESSING, OPTICAL DIGITAL DATA DISKS
EDP	ELECTRONIC DATA PROCESSING, UNSPECIFIED
EDT	ELECTRONIC DATA PROCESSING, MAGNETIC TAPE
EIR	ELECTRONIC IMAGING RECORDS
FDN	MICROFICHE, DIAZO NEGATIVE
FDP	MICROFICHE, DIAZO POSITIVE
FON	MICROFICHE, OTHER NEGATIVE
FSN	MICROFICHE, SILVER HALIDE NEGATIVE
FSP	MICROFICHE, SILVER HALIDE POSITIVE
FUN	MICROFICHE
FVN	MICROFICHE, VESICULAR NEGATIVE
FVP	MICROFICHE, VESICULAR POSITIVE
GRA	GRAPHIC ARTS
MAP	MAP
MBN	MOTION PICTURE FILM, BLACK-AND-WHITE NEGATIVE
MBP	MOTION PICTURE FILM, BLACK-AND-WHITE POSITIVE
MCN	MOTION PICTURE FILM, COLOR NEGATIVE
MCP	MOTION PICTURE FILM, COLOR POSITIVE
MDN	MICROFILM, DIAZO NEGATIVE
MDP	MICROFILM, DIAZO POSITIVE
MIC	MICROFILM, UNSPECIFIED
MON	MICROFILM, OTHER NEGATIVE
MOP	MICROFILM, OTHER POSITIVE
MPF	MOTION PICTURE FILM, UNSPECIFIED
MSN	MICROFILM, SILVER HALIDE NEGATIVE
MSP	MICROFILM, SILVER HALIDE POSITIVE
MVN	MICROFILM, VESICULAR NEGATIVE
MVP	MICROFILM, VESICULAR POSITIVE

MYL	MYLAR SHEETS
PBN	PHOTOGRAPHS, BLACK-AND-WHITE NEGATIVE
PBO	PHOTOGRAPHS, BLACK-AND-WHITE OTHER
PBP	PHOTOGRAPHS, BLACK-AND-WHITE PRINTS
PCN	PHOTOGRAPHS, COLOR NEGATIVES
PCO	PHOTOGRAPHS, COLOR OTHER
PCP	PHOTOGRAPHS, COLOR PRINTS
PHA	PHOTOGRAPHS, AERIAL
PHO	PHOTOGRAPHS, UNSPECIFIED
PRM	PRINTED MATERIAL
SEI	SEISMOGRAMS
SRC	SOUND RECORDINGS, TAPE CASSETTE
SRD	SOUND RECORDINGS, DISC
SRE	SOUND RECORDINGS, 8-TRACK CARTRIDGE
SRF	SOUND RECORDINGS, 45 RPM
SRL	SOUND RECORDINGS, LP
SRO	SOUND RECORDINGS, OTHER
SRT	SOUND RECORDINGS, OPEN TAPE (REEL TO REEL)
SRU	SOUND RECORDINGS, UNSPECIFIED
TEX	TEXTUAL
TRN	TRANSPARENCIES
VDB	VIDEO RECORDINGS, BETA FORMAT TAPE CASSETTE
VDP	VIDEO RECORDINGS, "PROFESSIONAL" TAPE CASSETTE
VDV	VIDEO RECORDINGS, VHS FORMAT TAPE CASSETTE
VID	VIDEO RECORDINGS, UNSPECIFIED
XRA	X RAYS

***Records Transmitted for Permanent, Sampled, or Unscheduled Retention.*** For these records the SF 135 must be accompanied by a detailed folder title listing for each box. See Figures 3-1 and 3-2, *Sample Box and Folder Listing for Permanent Records*, pp. 19-20. You may also use section 6(f) of the SF 135 if space permits.

***Permanent Microforms.*** The detailed folder title listing in item 6(f) must include information identifying the agency and organization; the title of the records; the number or identifier for each unit of film; the security classification, if any; and the inclusive dates, names, or other data identifying the records. Any finding aids relevant to the microforms that are not contained in the microforms, as well as the inspection log forms and inspection reports, must be attached to the SF 135. See 36 CFR 1230.26(c).

**Item 6(g) (Restriction):** Complete this section using one of the following codes. Code "P" should be used for unclassified Privacy Act system records. Use the codes C, S, and T only for documents pertaining to National Security Information. Do not use these codes for information of a proprietary nature. Add "RD" to classified materials to designate Restricted Data (RD) or Formerly Restricted Data (FRD). Explain any special restrictions, such as additional national security classifications, in item 6(f) if necessary. Use "A" if the records are sensitive AND you are requesting vault-type storage at an additional storage fee. Use "NA" if none of the above apply.

**Item 6(h) (Disposal Authority):** Cite the records schedule title or alphanumeric designation and the series item designation for each transfer (accession). Cite the appropriate General Records Schedule 6 item for accountable officers' records.

**Item 6(i) (Disposal Date):** Compute the disposition date using instructions in your records schedule. See Figure 9, *Computing Disposition Dates*, p. 27, for examples.

**Disposable Records.** Because disposal is accomplished in quarterly cycles (January, April, July, and October), you need to advance the date to the beginning of the next calendar quarter (for example, 1/2006, 4/2006, 7/2006, 10/2006) to obtain the actual date of disposal.

**Permanent Records.** Permanent records are transferred to NARA on an annual basis. No month is shown in the disposition date field. Advance the disposition date to the following calendar year. Place a "P" or "PERM" after the transfer year.

## Submitting Standard Form 135

Before forwarding the SF 135 to the WNRC, ensure that the form and any box and folder title list contain no classified or privacy act information, as SF 135's are public documents.

Mail or fax (301-778-1553) two copies of the SF 135 to the WNRC. If you submit your SF 135 electronically, you may send one copy only by e-mail to [suitland.transfer@nara.gov](mailto:suitland.transfer@nara.gov). However the SF 135 is submitted, you must include **detailed box and folder title listings for permanent, sampled, or unscheduled** records. Hold one copy of the SF 135 for your suspense file. WNRC staff will review your SF 135 for completeness and accuracy. If acceptable, the WNRC will return one copy of the SF 135 within 5 working days, authorizing shipment of the transfer (accession). SFs 135 submitted by mail or fax will be mailed back to the address listed in section 5. Notification of approval for those submitted by email will be returned by email.

Place the returned copy of the SF 135 in the last box of the transfer (accession) before the records are sent to the WNRC. If the boxes or other containers are tightly sealed, place this shipment copy in an envelope taped to the outside of the last container. We suggest that you also place a copy of the box and folder title listing in box 1 for all types of records.

After the records are received and shelved, the WNRC will return the "box" copy of the SF 135 to you as a receipt annotated as "Shelved."

## Shipping Records to WNRC

### Numbering Boxes for Shipment

After you receive the approved SF 135 from the WNRC, write the transfer (accession) number and the box number in the designated blocks on each records box. For boxes without the printed blocks, write the transfer (accession) number in the upper left corner and the agency box number in the upper right corner of each box. Begin with box number 1, and include the total number of boxes in the transfer (accession), such as “1/10,” “2/10,” and so forth.

**Transfer (accession) numbers and box numbers must be at least 1 inch high and written directly onto the box with a permanent black ink felt-tip marker.** It is acceptable to shorten the four digit fiscal year to two digits in order to fit the designated blocks printed on the boxes.

All boxes must be securely taped, except those transported by the WNRC Pick-up Service. When sent commercially or by mail, the boxes must be sealed with filament tape. Do not write on the sealing tape. Do not place tape over the transfer (accession) or box numbers.

### Shipment of Records

Agencies must arrange for the shipment of their records within 90 days after receipt of the approved SF 135, or 120 days for overseas installations. If the transfer cannot be made within this time, promptly advise the Transfer and Disposition Branch. Unexplained delays of more than 90 days (120 days overseas) may result in the WNRC canceling the transfer (accession) number. The agency will then be required to resubmit the paperwork, obtain approval for the shipment, and renumber the containers with a new transfer (accession) number.

#### ***WNRC Pick-up Service***

Within the Washington, DC, area, WNRC trucks can pick up and deliver most shipments of 24 boxes or more. For questions about pickup service by the WNRC, call the Control Unit at 301-778-1550. For this type of shipment, tops of boxes need only be tucked rather than taped. The WNRC can furnish skids (low wooden platforms mounted on wheels) and skid jacks. See Figure 4-1, *Example of Properly Loaded Skid*, p. 21, for the recommended stacking order of boxes on skids. The agency must load the skids; this service is not provided by the truck driver. Note that the boxes are loaded so that the last box is at the top left front position on the skid.

#### ***Mail and Parcel Services***

Agencies may send their records by mail (US Postal Service), United Parcel Service (UPS) or Federal Express (FedEx). For shipments of less than 24 boxes, agencies will find it most economical to mail them to the WNRC or ship them via UPS or FedEx. A UPS or FedEx shipment has the advantage of automatic registration and traceability of each box. For larger shipments, agencies should consider shipping by common carrier or mailing their records in postal or bulk-mail containers.

### ***Common Carriers***

Agencies using commercial carriers should ask the carrier about the freight rate for “old” office records. In addition, give the following commodity description on the bill of lading: "Records, office, old, in boxes, securely protected against opening in transit." Boxes shipped by common carrier should be loaded on pallets (portable platforms without wheels). See Figure 4-2, *Example of Properly Loaded Pallet*, p. 22, for the recommended stacking order of boxes on the pallet. Load them in numerical sequence so that the first box to be unloaded at the WNRC will be the last box and others will follow in reverse numerical order. Do not tape over the transfer (accession) number or the agency box numbers. For shipments of 50 or more boxes, call the WNRC to schedule a shipping date and instruct commercial carriers to contact the WNRC 24 hours before delivery. This instruction must be noted on the bill of lading.

**The WNRC does not accept shipments that are improperly marked, taped, or packed, or out of numerical order. The WNRC does not accept shipments that do not match the approved SF 135 for that transfer. The agency shipping the records, and not the WNRC, has the responsibility to pay for all original shipments as well as any additional freight charges required to return deficient shipments to the agency.**

### **Shipping Addresses**

Non-classified materials should be shipped to:

Washington National Records Center  
4205 Suitland Road  
Suitland, MD 20746-8001

Phone contact for:

WNRC Pick-up Service and Common Carrier: 301-778-1550  
US Postal Service, FedEx, and UPS: 301-778-1560

National Security Classified Information should be shipped using appropriate procedures to:

Washington National Records Center/NARA  
Room G050-Stack 1  
4205 Suitland Road  
Suitland MD 20746-8001

Phone contact: 301-778-1595

Department of Energy SSIMS code 0603

## Requesting Reference Services

### Authorized Requestors

Each agency must submit an Authorized Requester Form listing all personnel who will be retrieving records from the WNRC. The form must be signed by the agency records officer and the security officer (for classified records). See Figure 6, *Authorized Requester Form*, p. 24, for an example.

### Submitting Requests: ARCIS or OF 11

Reference requests may be submitted by mail, fax, delivery service, or electronically. ARCIS (Archives Records Center Information System) allows agencies to submit their requests electronically. ARCIS is the most efficient way to request records from the WNRC. For additional information regarding ARCIS, please contact the help desk at 314-801-9300 or [arcishelp@nara.gov](mailto:arcishelp@nara.gov).

Agencies may also use Optional Form 11 (OF 11) to request records. Fax this form to the Request Section on 301-778-1561, or mail or deliver it to the WNRC Reference Services Branch--Request Section. When completing an OF 11, agencies must furnish:

- the transfer (accession) number,
- agency box number,
- the nature of service (permanent withdrawal of records, temporary loan to the agency, review of records at the WNRC Reading Room, or other), and
- the requester's name, agency, and telephone number.
- For pick-ups or reviews include the date and time the records are needed.
- For items to be mailed include the requester's full mailing address.

See Figure 5, *Sample OF 11*, p. 23, for a completed example. Agencies need only submit one copy of the completed OF 11. WNRC will enter all OF 11's into ARCIS to convert them into ARCIS reference requests. Photocopies of OF 11's are acceptable. Agencies may retain the pink middle copy or a photocopy as a suspense copy.

### Permanent Withdrawal

If the request is to permanently withdraw boxes, send one OF 11 for each continuous group of boxes requested. **Records that are permanently withdrawn cannot be returned to the WNRC under the original transfer (accession) number.** They may be re-submitted as a new transfer (accession) in new records boxes. Contact the Transfer and Disposition Branch at 301-778-1650 for questions regarding re-submission.

### Reference Availability

Reference requests are filled within 24 hours (i.e. one full business day) of receipt of a properly completed ARCIS request or OF 11. Emergency requests requiring immediate pick-up may be called into the emergency request line at 301-778-1520 or faxed to the request section on 301-778-1561. Please indicate "urgent" on the OF 11.

## Records Disposition

Agencies are notified of the pending disposition of records with either NA Form 13001 or an SF 258.

### Scheduled Disposal

NA Form 13001, *Disposition Notification Report*, is mailed 90 days before the scheduled destruction date. The WNRC will only destroy eligible Federal records with the written concurrence of the agency having legal custody of the records (36 CFR 1228.170(b)). Justification for continued retention must be submitted in writing, indicating the specific need (audit, legal, or other pertinent issues) and the estimated duration of the continued retention of the records. See Figure 7, *Sample NA Form 13001*, p. 25, for an example.

### Review of Contingent Disposal

NA Form 13001, *Disposition Notification Report*, is mailed once a year for contingent disposal. The responsible agency officer must sign and return the form, indicating approval of the disposal before the records can be destroyed. If the records cannot be destroyed, the form should be signed, dated, and returned, indicating a new review date. See Figure 7, *Sample NA Form 13001*, p. 25, for a sample.

### Transfer of Permanent Records

When permanent records stored at the WNRC are scheduled for transfer into the National Archives, a partially completed Standard Form 258, *Agreement to Transfer Records to the National Archives of the United States*, is forwarded to the agency for signature. The SF 258 documents the change in legal custody of the records and states the terms of the transfer. See Figure 9, *Sample SF 258*, p. 26.



## **Information about Agency Records at WNRC**

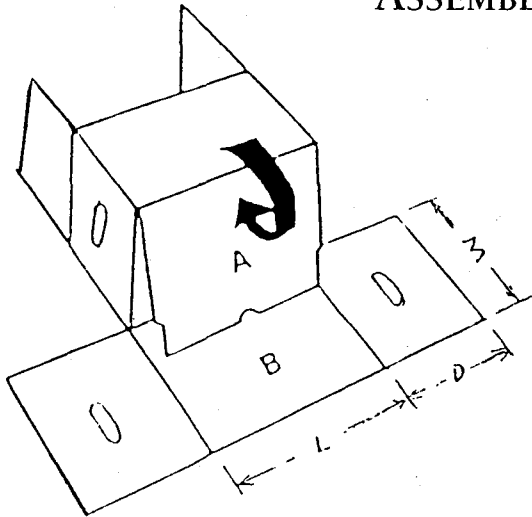
### **The “01 Report”**

Summary information on holdings at all Federal Records Centers by record group is available on the Accession Number Master List, also known as the “01 Report.” This can be sent out on a monthly, quarterly or yearly basis. For information about obtaining this report, contact your Account Representative.

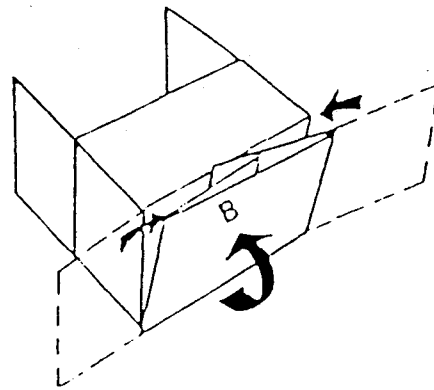
### **Excel Spreadsheet Version**

Summary information on holdings at WNRC only is also available to the agency upon request in Microsoft Excel spreadsheet format, which allows more flexibility in using the data. Contact the Transfer & Disposition Branch at [suitland.transfer@nara.gov](mailto:suitland.transfer@nara.gov) or call 310-778-1650.

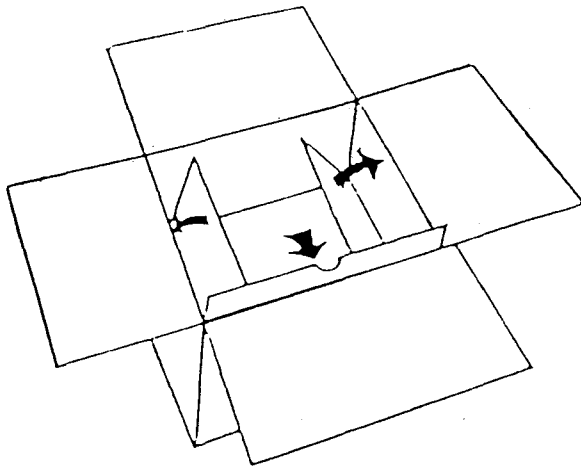
## ASSEMBLY INSTRUCTIONS



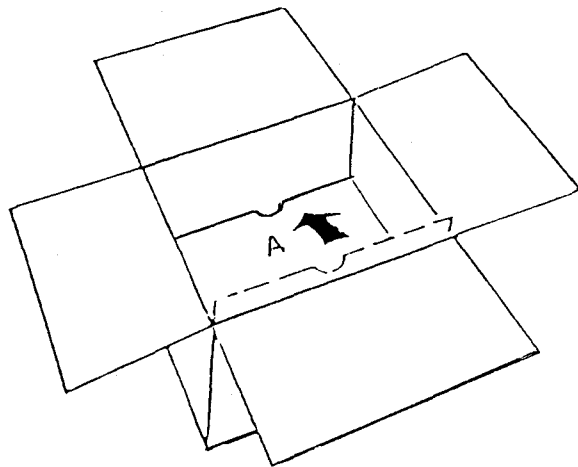
STEP 1. Square up box on its side, and fold flap A inside.



STEP 2. Fold extensions over on flap B, and fold to closed position.



STEP 3. Lift flap A to vertical position, then lift and fold extensions of flap B up against end walls of box.



STEP 4. Lower flap A to bottom of box.

STEP 5. Fold all flaps in (small flaps first, large flaps last).

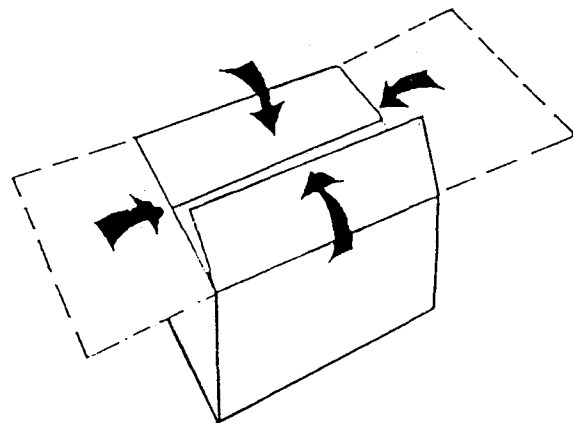


Figure 1. FRC Box Assembly Instructions



1	TO	(Complete the address for the records center serving your area as shown in 36 CFR 1228.150.)  <div style="text-align: center;"> <b>Washington National Records Center</b>  <b>4205 Suitland Road</b>  <b>Suitland, MD 20746-8001</b> </div>	
2	AGENCY TRANSFER AUTHORIZATION	TRANSFERRING AGENCY OFFICIAL <i>(signature and title)</i> <b>Stephen Pollard, Records Officer (202) 720-3359</b>	DATE <b>2/8/99</b>
3	AGENCY CONTACT	TRANSFERRING AGENCY LIAISON OFFICIAL <i>(Name, office and telephone No)</i> <b>Jeanne Rector, ARS, AFM, AITD (301) 344-0301</b>	
4	RECORDS CENTER RECEIPT	RECORDS RECEIVED BY <i>(Signature and Title)</i> <b>[Leave blank for Records Center Staff Use]</b>	DATE <b>[Leave blank]</b>

5 FROM (Enter the name and complete mailing address of the office retiring the records. The signed receipt of this form will be sent to this address.)

**U.S. Department of Agriculture**  
 Agricultural Research Service  
 AFM-AID-IAB  
 Room 1446 - south  
 14th & Independence Avenue, SW  
 Washington DC 20250

6

RECORDS DATA												
ACCESSION NUMBER			VOLUME (cu. ft.)	AGENCY BOX NUMBER S	SERIES DESCRIPTION (with inclusive dates of records)	RESTRIC- TION	DISPOSAL AUTHORITY (schedule and item number)	DISPOSAL DATE	COMPLETED BY RECORDS CENTER			
RG	FY	NUMBER							LOCATION	SHELF PLAN	CONT.T YPE	AUTO. DISP.
(a)	(b)	(c)	(d)	(e)	(f)	(g)	(h)	(i)	(j)	(k)	(l)	(m)
310	98	0004	2	1-2	Agricultural Research Service Directives. Official issuances, chanages, checklists, etc., with supporting papers documenting the important aspects of issuance, such as those requiring OGC clearances.  Files closed November 1995	NA	NC1-310-80-2 Item 32a1	2011P	[Leave sections 6j, k, l & m blank]			

Agricultural Research Service  
U.S. Department of Agriculture

Accession 310-98-0004

Flies Closed November 1995

Box 1

AM 100.1	Compliance of ARS with the Animal Welfare Act
AM 100.2	Organization Changes
AM 100.3	Position Management
AM 105.2	Delegations of Authority
AM 110.6	ARS International Programs
AM 130.3	Human Metabolic Unit
AM 130.5	Research Assessment Committee: Pesticide Impact Assessment
AM 150.1	Dissemination of Public Information by ARS
AM 150.6	Manuscript Clearance Procedures for Publishing in Non-USDA Media
AM 150.7	Outside (Non-USDA) Publishing
AM 175.2	USDA Alphabetical and Organizational Lists

Box 2

AM 240.6	Pollution Abatement at ARS Facilities
AM 252.4	For Official Use Only Material
AM 510.5	Program Reports in ARS
AM 520.2	Approval of Proposed Projects
AM 545	Sponsored Research
AM 905	Releasing Plant Germ Plasm
AM 910	National Agricultural Pesticide Impact Assessment Program

Page 1 of 1

**Figure 3-2. Sample Box and Folder List for Permanent Records**

Office of the Commissioner  
Internal Revenue Service  
Reading Files

January, 1995

February, 1995 (2 folders)

March, 1995

April, 1995

May, 1995 (3 folders)

June, 1995

July, 1995

August, 1995

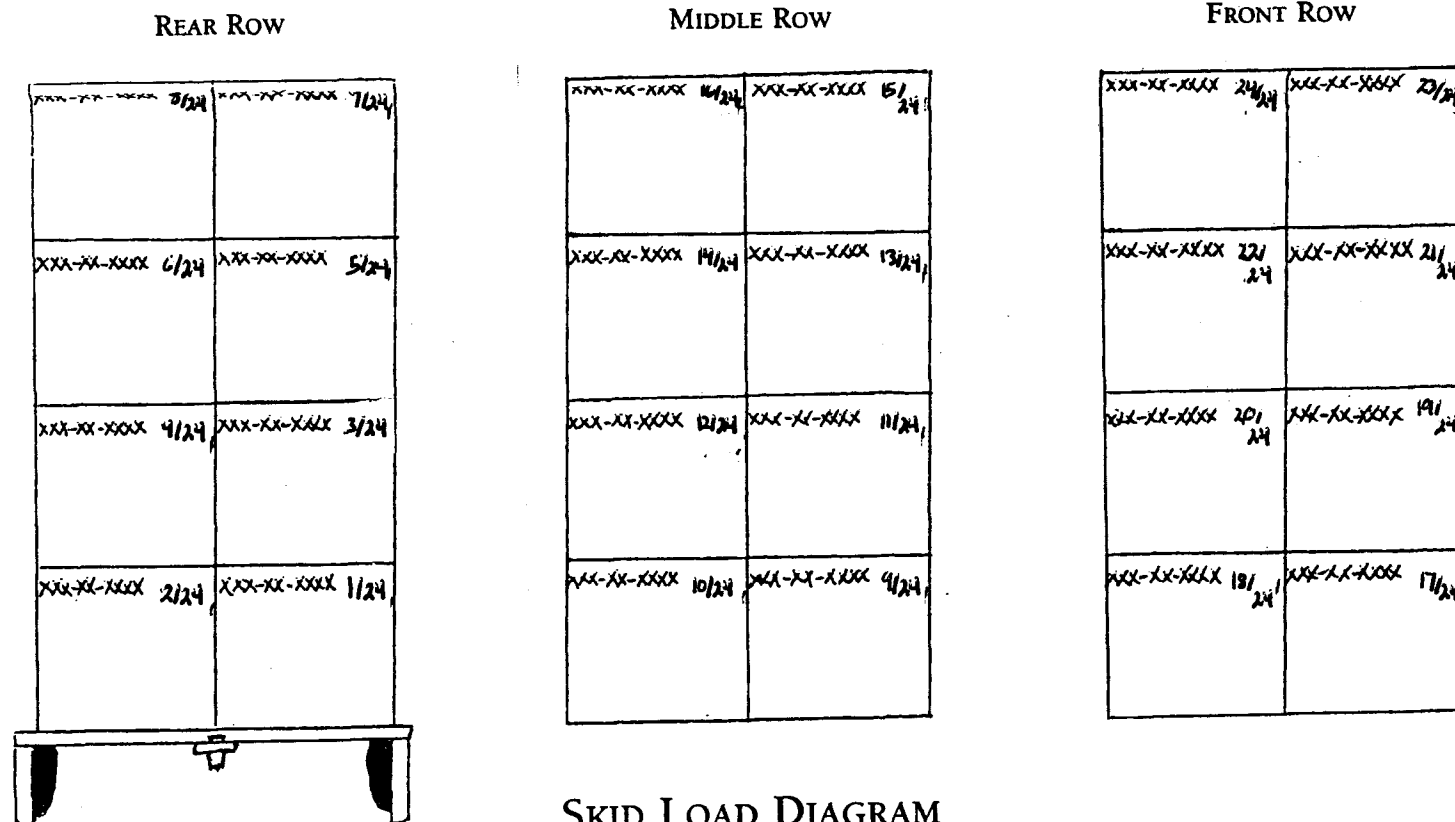
September, 1995 (2 folders)

October, 1995

November, 1995

December, 1995

**Figure 3-3. Sample Box and Folder List for Permanent Records**



#### INSTRUCTIONS

1. Load skids with **box number 1** on rear (over wheels) bottom, and build the rows vertically as shown in the diagram. All boxes should be numbered as shown.
2. All boxes should face forward (jack hookup point).
3. Security-classified records should not be on the same skid as unclassified records. Nor should refiles be on the same skid with new accessions.
4. When records are boxed before skids are available, keep boxes in numerical order so they can be loaded on skids properly.
5. Failure to load skids properly will be cause for the Center to refuse the records.

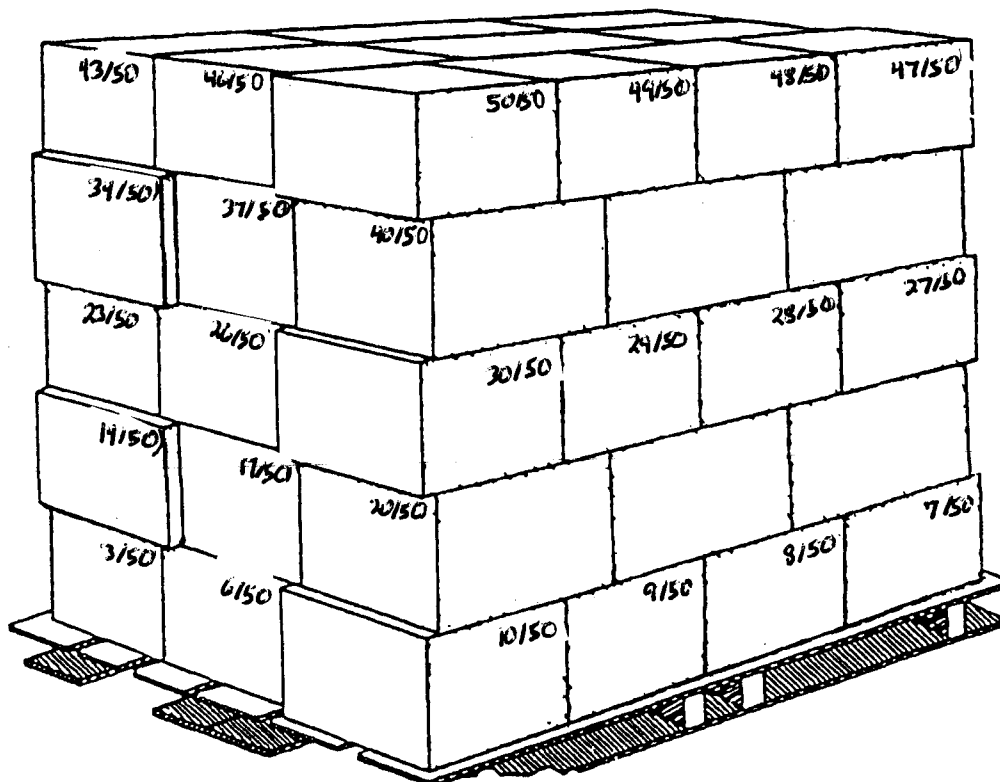
## EXAMPLE OF PROPERLY STACKED PALLET SHOWING AGENCY BOX NUMBERS

43	42	41	
46	45	44	
Box # 50	49	48	47

Top View of Top Row

34	33	32	31
37	36	35	
40	39	38	

Top View of Second Row



### INSTRUCTIONS

1. Face the boxes as shown in diagram.
2. Stacking pattern for palletized records is 10 standard records center cartons per row, 5 rows per pallet, 50 cartons per pallet. Box 50 is in the **top** row, and box 1 is in the **bottom** row.
3. Four boxes on each row are placed perpendicular to the rest of the boxes in that row.
4. Numbered end not facing the front of the pallet should face right.
5. When records are boxed before pallets are available, keep the boxes in numerical order so they can be loaded on pallets properly.
6. Failure to load pallets properly will be cause for the Center to refuse the records.
7. Pallets should be banded with steel, plastic, or cord strapping before shipping.

Figure 4-2. Example of Properly Loaded Pallet



<b>REFERENCE REQUESTS - FEDERAL RECORDS CENTERS</b>		NOTE: Use a separate form for each request.			
<b>SECTION I - TO BE COMPLETED BY REQUESTING AGENCY</b>					
ACCESSION NO.	AGENCY BOX NUMBER	RECORDS CENTER LOCATION			
XXX-XX-XXXX	2 OF 3	[Leave Blank]			
DESCRIPTION OF RECORD(S) OR INFORMATION REQUESTED					
[   ] BOX					
[ X ] FOLDER (include file number and title)    CONTRACT NO. XXX-XX-XXX					
NAME                      DATE					
REMARKS					
AGENCY MESSENGER WILL PICK UP					
NATURE OF SERVICE					
[   ] FURNISH COPY OF RECORD (S) ONLY	[   ] PERMANENT WITHDRAWAL	[ X ] TEMPORARY LOAN OF RECORD(S)			
[   ] REVIEW	[   ] OTHER ( <i>Specify</i> )				
<b>SECTION II - FOR USE BY RECORDS CENTER</b>					
<div style="display: flex; flex-direction: column; gap: 5px;"> <div>[   ] RECORDS NOT IN CENTER CUSTODY</div> <div>[   ] WRONG ACCESSION NUMBER-PLEASE RECHECK</div> <div>[   ] WRONG BOX NUMBER-PLEASE RECHECK</div> <div>[   ] WRONG CENTER LOCATION-PLEASE RECHECK</div> <div>[   ] ADDITIONAL INFORMATION REQUIRED TO IDENTIFY RECORDS REQUESTED</div> <div>[   ] MISSING (<i>Neither record(s), information nor charge card found in container(s) specified</i>)</div> <div>[   ] RECORDS DESTROYED</div> <div>[   ] RECORDS PREVIOUSLY CHARGED OUT TO (<i>Name, agency and date</i>):</div> </div>		REMARKS			
				DATE	SERVICE
<b>SECTION III - TO BE COMPLETED BY REQUESTING AGENCY</b>					
NAME OF REQUESTOR FIRST NAME, LAST NAME		TELEPHONE NO. XXX-XXX-XXXX	DATE XX-XX-XX	<b>RECEIPT OF RECORDS</b>	
NAME AND ADDRESS OF AGENCY	AGENCY MAJOR SUBDIVISION MINOR SUBDIVISION MAILING ADDRESS CITY, STATE, ZIP CODE			Requestor please sign, date and return this form, for file item(s) listed above, ONLY if the block to the right has been checked by the Records Center. [   ]	
				SIGNATURE	DATE

## PERSONNEL AUTHORIZED TO REQUEST OR PICK-UP RECORDS FROM THE WASHINGTON NATIONAL RECORDS CENTER

**AUTHORIZATIONS EXPIRE AFTER ONE YEAR. INFORMATION SHOULD BE UPDATED PRIOR TO EXPIRATION.**  
**THIS LIST SUPERCEDES ALL PREVIOUS LISTINGS. PRIOR SUBMISSIONS WILL BE REMOVED FROM AUTHORIZATION FILE.**

## INSTRUCTIONS:

For persons authorized to pick-up and/or request **UNCLASSIFIED** records complete only items 1 through 4 on the first line.

For persons authorized to pick-up and/or request **CLASSIFIED** records complete items 1-10 (BOTH LINES). Do not write in shaded areas.

For BLOCKS 3 and 4, please write **C** for **classified**, **U** for **unclassified**, or **BOTH** for **both classified and unclassified**.

For BLOCK 10, Security Officer should initial all individuals authorized to pick-up and/or request classified records.

1 - EMPLOYEE NAME	2 - PHONE NUMBER	3 - PICK-UP	4 - REQUEST	This form contains Privacy Act information. The PA information will remain confidential as required by statute.	
5 - SSN OR BIRTHDATE	6 - POSITION		7 - LEVEL OF CLEARANCE	8 - DATE OF CLEARANCE	9 - BASIS OF CLEARANCE
1 - EMPLOYEE NAME	2 - PHONE NUMBER	3 - PICK-UP	4 - REQUEST	This form contains Privacy Act information. The PA information will remain confidential as required by statute.	
5 - SSN OR BIRTHDATE	6 - POSITION		7 - LEVEL OF CLEARANCE	8 - DATE OF CLEARANCE	9 - BASIS OF CLEARANCE
1 - EMPLOYEE NAME	2 - PHONE NUMBER	3 - PICK-UP	4 - REQUEST	This form contains Privacy Act information. The PA information will remain confidential as required by statute.	
5 - SSN OR BIRTHDATE	6 - POSITION		7 - LEVEL OF CLEARANCE	8 - DATE OF CLEARANCE	9 - BASIS OF CLEARANCE
1 - EMPLOYEE NAME	2 - PHONE NUMBER	3 - PICK-UP	4 - REQUEST	This form contains Privacy Act information. The PA information will remain confidential as required by statute.	
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1 - EMPLOYEE NAME	2 - PHONE NUMBER	3 - PICK-UP	4 - REQUEST	This form contains Privacy Act information. The PA information will remain confidential as required by statute.	
5 - SSN OR BIRTHDATE	6 - POSITION		7 - LEVEL OF CLEARANCE	8 - DATE OF CLEARANCE	9 - BASIS OF CLEARANCE
1 - EMPLOYEE NAME	2 - PHONE NUMBER	3 - PICK-UP	4 - REQUEST	This form contains Privacy Act information. The PA information will remain confidential as required by statute.	
5 - SSN OR BIRTHDATE	6 - POSITION		7 - LEVEL OF CLEARANCE	8 - DATE OF CLEARANCE	9 - BASIS OF CLEARANCE
I authorize the individuals identified above to request and/or pick-up records from the Washington National Records Center				***** AGENCY ADDRESS (MUST COMPLETE): *****	
Records Officer Signature		Telephone Number (Do not use DSN or Autovon)			
Date of Authorization		E-mail address			
Security Officer Signature		Security Officer - Telephone Number (Do not use DSN or Autovon)		Record Group Numbers:	

## DISPOSAL NOTIFICATION REPORT

The following records are eligible for disposal. As per 36 CFR 1228.170(b), they will be destroyed only with the approval of the agency having legal custody of the records.

**Disposition Number :** ADN1-172286087

**Notification Date :** 09/23/2009

**Transfer #:** W167-08-0009

**Disposition Code :** Destroy

**Disposal Date :** 01/01/2010

**Actual Volume (C.F.) :** 12

**Series Description :** SITE AUDIT

**Inclusive End Date :** 09/30/2003

**Disposition Authority :** GRSN/6/1A

**DA Last Name :** MILLER DONNA

**Agency Name :** U.S. Department of Commerce

**Street Address :** 100 BUREAU DRIVE

**Street Address 2 :** ROOM B35

**City :** GAITHERSBURG, MD, 20899-3221, USA

The transfer listed above is eligible for disposal or is scheduled for disposal contingent on completion of some action or event. See above for specifics. Please review this transfer to determine if/when the records may be destroyed. If you approve, the records will be destroyed. If you disapprove, state the reasons for decline and provide a proposed new disposal or review date. Check appropriate box below and sign and return this notice to the FRC listed below. No action will be taken on these records until this form is returned to our office.

**Please act promptly.**

☐

**Disposition Approved**

☐

**Disposition Not Approved**

**SIGNATURE**

**TITLE**

**DATE**

**Reason(s) For Decline :** \_\_\_\_\_

**Proposed New Disposal Date (mm/dd/yyyy) :**

**Proposed Containers for Disposal :** Begin Box# 1, End Box# 12

This is NA Form 13001, Disposal Notification Report, relating to records from your office that are eligible for disposal, if you approve. You should be aware that records in this records transfer may be relevant to the tobacco litigation, U.S v Philip Morris, Inc., No. 99-2497 (GK) D.D.C, or to the freeze on disposal of records related to tobacco. If no such records are present, please sign this form to provide your concurrence and return.

**Return To :**

FRC - WNRC (Suitland)  
4205 SUITLAND ROAD  
SUITLAND MD 20746-8001

<b>AGREEMENT TO TRANSFER RECORDS TO THE NATIONAL ARCHIVES OF THE UNITED STATES</b>		1. INTERIM CONTROL NO. (NARA Use Only) <b>088-10-1-U</b>
<div style="display: flex; justify-content: space-between;"> <div style="width: 45%;"> <p style="text-align: center; margin: 0;"><b>TERMS OF AGREEMENT</b></p> <p style="font-size: small; margin: 5px 0;">The records described below and on the attached ___1___ page are deposited in the National Archives of the United States in accordance with 44 U.S.C. 2107. The transferring agency certifies that any restrictions on the use of these records are in conformance with the requirements of 5 U.S.C. 552.</p> <p style="font-size: small; margin: 5px 0;">In accordance with 44 U.S.C. 2108, custody of these records becomes the responsibility of the Archivist of the United States at the time of transfer of the records. It is agreed that these records will be administered in accordance with the provisions of 44 U.S.C. Chapter 21, 36 CFR XII, 36 CFR Part 1256, and such other rules and regulations as may be prescribed by the Archivist of the United States (The Archivist). Unless specified and justified below, no restrictions of the use of these records will be imposed other than the general and specific</p> </div> <div style="width: 50%;"> <p style="font-size: small; margin: 5px 0;">restrictions on the use of these records will be imposed other than the general and specific restrictions on the use of records in the National Archives of the United States that have been published in 36 CFR Part 1256 or in the <i>Guide to the National Archives of the United States</i>. The Archivist may destroy, donate, or otherwise dispose of any containers, duplicate copies, unused forms, blank stationery, non-archival printed or processed material, or other non-record material in any manner authorized by law or regulation. Without further consent, the Archivist may destroy deteriorating or damaged documents after they have copied in a form that retains all of the information in the original document. The Archivist will use the General Records Schedule and any applicable records disposition schedule (SF 115) of the transferring agency to dispose of non-archival materials contained in this deposit.</p> </div> </div>		
2A. AGENCY APPROVAL  Signature _____ Date _____	3A. NARA APPROVAL  Signature _____ Date _____	
2B. NAME, TITLE, MAILING ADDRESS <b>Ms. Seung Ja Sinatra</b> Department of Health and Human Services Food and Drug Administration 17B24 Parklawn Building 5600 Fishers Lane Rockville, MD 20857-0001	3B. NAME, TITLE, MAILING ADDRESS  <b>Steven Tilley, Director</b> Textual Archives Services Division-NWCT 8601 Adelphi Road, Room 2600 College Park, MD 20740 301-837-3059	

<b>RECORDS INFORMATION</b>			
4A. Unclassified Records Department of Health and Human Services 4B. DATE SPAN OF SERIES : See attached list <span style="float: right;">(Attach any additional description)</span>			
5A. AGENCY OR ESTABLISHMENT  Food and Drug Administration	9. PHYSICAL FORMS <div style="display: flex; justify-content: space-between; font-size: small;"> <div> <input checked="" type="checkbox"/> Paper Documents  <input type="checkbox"/> Paper Publications  <input type="checkbox"/> Microfilm/Microfiche  <input type="checkbox"/> Electronic Records  <input type="checkbox"/> Photographs         </div> <div> <input type="checkbox"/> Posters  <input type="checkbox"/> Maps and Charts  <input type="checkbox"/> Arch/Eng Drawings  <input type="checkbox"/> Motion/Sound/Video  <input type="checkbox"/> Other (specify): _____         </div> </div>		
5B. AGENCY MAJOR SUBDIVISION			
5C. AGENCY MINOR SUBDIVISION			
5D. UNIT THAT CREATED RECORDS	10. VOLUME:                      CONTAINERS: Cu. Mtr.:                      Cu.Ft.: 144                      Number:                      Type:		
5E. AGENCY PERSON WITH WHOM TO CONFER ABOUT THE RECORDS Name: Telephone Number:	11. DATE RECORDS ELIGIBLE FOR TRANSFER TO THE ARCHIVES As soon as possible		
6. DISPOSITION AUTHORITY: See attached list	12. ARE RECORDS FULLY AVAILABLE FOR PUBLIC USE?  _____ YES      _____ NO      (If no, attach limits on use and justification)		
7. IS SECURITY CLASSIFIED INFORMATION PRESENT? <input checked="" type="checkbox"/> NO <input type="checkbox"/> YES  LEVEL: <input type="checkbox"/> Confidential <input type="checkbox"/> Secret <input type="checkbox"/> Top Secret  SPECIAL MARKINGS: <input type="checkbox"/> RD/FRD <input type="checkbox"/> SCI <input type="checkbox"/> NATO <input type="checkbox"/> Other  INFORMATION STATUS: <input type="checkbox"/> Segregated <input type="checkbox"/> Declassified	13. ARE RECORDS SUBJECT TO THE PRIVACY ACT?  _____ YES      _____ NO  (If yes, cite Agency System Number and Federal Register volume and page number of most recent notice and attach a copy of this notice.)		
8. CURRENT LOCATION OF RECORDS <input type="checkbox"/> Agency (Complete 8A only) <input checked="" type="checkbox"/> Federal Records Center (Complete 8B only)	14. ATTACHMENTS <div style="display: flex; justify-content: space-between; font-size: small;"> <div> <input type="checkbox"/> Agency Manual Excerpt  <input type="checkbox"/> Additional Description  <input type="checkbox"/> Privacy Act Notice  <input type="checkbox"/> Other (specify): _____         </div> <div> <input checked="" type="checkbox"/> Listing of Records Transferred  <input type="checkbox"/> NA Form 14097 or Equivalent  <input type="checkbox"/> Microform Inspection Report  <input type="checkbox"/> SF(s) 135         </div> </div>		
8A. ADDRESS:			
8B. FRC ACCESSION NUMBER                      CONTAINER NUMBERS                      FRC LOCATION Washington National Records Center,                      See attached list  Suitland, MD 20746			

<b>NARA PROVIDES</b>	
15. SHIPPING INSTRUCTIONS TO AGENCIES/REMARKS REGARDING DISPOSITION	<b>RG 088</b>
16. RECORDS ACCEPTED INTO THE NATIONAL ARCHIVES OF THE UNITED STATES  Signature _____ Date _____	17. NATIONAL ARCHIVES ACCESSION NO.

## COMPUTING DISPOSITION DATES

Correct disposal/transfer dates are based the agency's records disposition schedule and Washington National Records Center's disposal/transfer cycles.

<b>Fiscal Year</b>	<b>Period Covered</b>
1975 (and prior)	July 1, 1974 - June 30, 1975
.....	.....
1976	July 1, 1975 - Sept 30, 1976
.....	.....
2002	Oct 1, 2001 - Sept 30, 2002

### WNRC Disposal and Transfer Cycles

Disposal Cycles: January (01)    April (04)    July (07)    October (10)  
 Permanent records (P) are transferred to the National Archives annually in January (01).

### Disposal Date Calculation Examples

*Example 1:* If you have Accountable Officers' Accounts Records (Site Audit Records) under disposition authority GRS 6, item 1a, for accounts closed in FY 2010 (ended September 30, 2010), with a retention period of 6 years, 3 months:

	2010	9 (end of September)
Add 6 years, 3 months	+ <u>6 years</u>	<u>3 months</u>
	2016	12 months (end of December)

Advance disposal date to next WNRC disposal cycle, January of the following year = January 2017.

*Example 2:* For same disposition authority, if the latest accounts in the transfer (accession) closed in May, 2011:

	2011	5 (end of May)
Add 6 years, 3 months	+ <u>6 years</u>	<u>3 months</u>
	2017	8 months (end of August)

Advance disposition date to next WNRC disposal cycle, October, 2017 = 10/2017.

### Computation Examples

<b>Retention Period from Schedule</b>	<b>Closure Date of Records</b>	<b>Disposal Date</b>
10 Years	FY 2005	10/2015
10 Years	CY 2010	01/2021
6 Years 3 Months	FY 2011	01/2018
15 Years	CY 2008	01/2024
6 Years	Aug 2009	10/2015
Permanent:	FY 2010	P2036
Transfer to NARA 25 years	CY 2010	P2036
after last date of records	May 2010	P2036

## RECORDS SHIPMENT AND SF 135 EXERCISE

1. Should your records center cartons accompany the initial SF 135?  
\_\_\_\_\_
2. What are the two essential pieces of information needed in the Series Description (block 6f) of the SF 135?  
a) \_\_\_\_\_ b) \_\_\_\_\_
3. What are the two parts of each Disposal Authority (block 6h)?  
a) \_\_\_\_\_ b) \_\_\_\_\_
4. How many Disposal Authorities can apply to a single transfer of records sent to WNRC? \_\_\_\_\_
5. Can the SF 135 be approved if the restriction column is not filled in?  
\_\_\_\_\_
6. How many transfers can be listed on a SF 135? \_\_\_\_\_
7. Do permanent series and unscheduled records require a complete content list of files for each box to accompany the SF 135? \_\_\_\_\_
8. What two pieces of information must be on the outside of each box sent to WNRC?  
a) \_\_\_\_\_ b) \_\_\_\_\_
9. If containers other than a standard size record center box must be used, what must be done in advance?  
\_\_\_\_\_
10. What must be placed in the last box of each transfer sent to WNRC?  
\_\_\_\_\_

**Figure 10. Records Shipment and SF 135 Exercise**